> To: Teri Tiso, Chair, SPD Council
> From: Ken Lindblom, Dean
> Re: Proposed Responsible Conduct of Research and Scholarship Policy
> Date: March 20, 2017 [Revised August, 24, 2017, as per Office of Research Compliance requirements. Revision approved by SPD Council.]

The Office of the Provost, Office of the Senior Vice President for Health Sciences and Office of the Vice President for Research/Office of Research Compliance now require each college or school at Stony Brook University to develop a policy for Responsible Conduct of Research and Scholarship (RCRS). The policy proposed below will satisfy the requirements for SPD.

Background:
Stony Brook University policy P211 requires members and certain visitors of the Stony Brook University community to complete educational training on the responsible conduct of research and scholarship in order to equip members with the tools necessary to conduct ethically sound and compliant research and scholarship.

While this campus policy originates in response to National Institute of Health (NIH) and National Science Foundation (NSF) training requirements, it is the opinion of the University that training on responsible conduct of research and scholarship should be more comprehensive. Jointly issued by the Office of the Provost, the Office of the Senior Vice-President for Health Sciences, and the Vice-President for Research, the policy requires each academic unit to develop its own Complementary Policy for implementing P211 to allow for the most appropriate requirements for the faculty, staff and students of that academic unit.

The educational program in RCRS involves two (2) components: on-line training provided by the web-based Collaborative Institutional Training Initiative (CITI) and in-person training (IPT). The federal IPT guidance is for eight (8) hours every 4 years, or 2 hours annually. The policy below outlines who in the [enter the name of the academic area] is required to complete these training components, the required frequency of such training, and the general content of the training.

Please note: If a person is receiving external grant support from an agency with a RCRS training requirement, they MUST follow the requirements set forth by the agency. For example, both NIH and NSF have training requirements for whom they consider "trainees". It is important for individuals to review the RCRS training policies set forth by the agencies funding their research.

Stony Brook Policy P211: Responsible Conduct of Research and Scholarship
(http://www.stonybrook.edu/policy/policies.shtml?ID=211) was developed to ensure the highest
ethical standards for the conduct of research and scholarly activities on our campus.

DESCRIPTION

The educational program in RCRS involves 2 components:
1. Online training provided by the web-based Collaborative Institutional Training Initiative
   (CITI); Attachment A, below, includes the information needed for completing required
   online (CITI) RCRS training.
2. In-person training (IPT).

CITI training: The web-based Collaborative Institutional Training Initiative (CITI) training is a
one-time training that, once completed, is noted on a person's personnel record on the
university's PeopleSoft system.

IPT: Requirements for in-person training (IPT) are eight (8) hours every 4 years, or 2 hours
annually. In general, IPT should promote discussion, foster a climate of ethical conduct of
research and scholarly activities, and provide efficient opportunities for training. A successful
program includes, as appropriate to the discipline, the following topics:
- Conflict of interest - personal, professional, and financial
- Mentor/mentee responsibilities and relationships
- Collaborative research including collaborations with industry
- Peer review
- Data acquisition and research tools; management, sharing and ownership
- Research misconduct and policies for handling misconduct
- Responsible authorship and publication
- The scholar as a responsible member of society, contemporary ethical issues and the
  environmental and societal impacts of research in the discipline
- Policies regarding human subjects, live vertebrate animal subjects in research, and safe
  laboratory practices

Those not able to come to campus for IPT training should take advantage of IPT-eligible online
materials at the following links:

> http://research.stonybrook.edu/available-grd-500-sessions-person-training#
> http://research.stonybrook.edu/other-training-resources

REQUIREMENTS

The following policies indicate the specific RCRS requirements for members of SPD depending
upon their role:

All Full-time Faculty, and Any Staff or Part-Time Faculty Involved in Research must complete the CITI module Research, Ethics, and Society (RCR-Interdisciplinary) and the additional module most appropriate for their area of expertise: (Biomedical, Social & Behavioral Research, Physical Sciences, Humanities, Engineers, For Administrators). In addition, faculty should complete 2 hours of IPT training per year. Opportunities for IPT will be provided by Program Directors or may be completed using the IPT-eligible online resources. **Faculty whose primary position is in a college or school other than SPD must follow the RCRS policies for that college or school. Program Directors are responsible for compiling data regarding RCRS for faculty in each program and reporting it to SPD.**

Graduate Students in Master's or Doctoral Programs or Advanced Graduate Certificate Programs in Educational Leadership or Higher Education Administration must complete the CITI module Research, Ethics, and Society (RCR-Interdisciplinary) as part of the appropriate introductory course for that program: LSF 504; HEA 501; HRM 532; EDL/CEQ 501; or the first Methods of Teaching Course (MATs). Students must complete the additional module in the appropriate field, as determined by the course instructor of program director, within the first two weeks of class of the appropriate research course: CEE 595; HEA 595; HRM 595; EDL/CEQ 595; or the second Methods of Teaching Course (MATs). Additional module fields: Biomedical, Social & Behavioral Research, Physical Sciences, Humanities, Engineers, For Administrators. All courses listed above will also include at least 2 hours of IPT as part of the course curriculum; additional discussion as appropriate is highly encouraged in the research courses.

Graduate or Undergraduate Students in University Badge Courses or Other SPD Courses: Many students in the School of Professional Development take courses as a nonmatriculated student, and thus do not fall into the groups discussed above. To address RCRS for these students, any course that includes research as part of their content or title will require students to complete the complete the CITI module Research, Ethics, and Society (RCR-Interdisciplinary).

Attachment "A" (modified from Stephen Walker's file for SoDM).

Instructions for on-line training in the Responsible Conduct of Research and Scholarship

1. How do I get a CITI account to take the on-line training in Responsible Conduct of Research?

If you do <u>not</u> have a CITI Username and Password, these are the instructions to obtain them:

1. Go to https://www.citiprogram.org

2. At the right side of the webpage, under "Create an account", click the "Register" button.

3. Under "Select Your Organization Affiliation" in the box type "SUNY - University at Stony Brook"

4. Then click "Continue to Step 2"

5. Enter your first and last name in the boxes and enter your Stony Brook E-mail address. You can enter a secondary E-mail address such as your personal home E-mail address.

6. Click "Continue to Step 3" and then continue entering the information that they ask you for.

7. Once you type in all information that the website requires, you will receive your CITI Username and Password via E-mail.

2. How do I log onto CITI to take the on-line training in Responsible Conduct of Research?

1. Go to https://www.citiprogram.org
2. Log in with your CITI Username and Password
3. Select, "Main Menu" and click on the arrow "SUNY-University at Stony Brook". Then click "Add a course or update your learner groups".
4. Click in the box next to "I want to complete an RCR Course at this time. A checkmark will appear in the box. Then, click "Next" in the blue box on the bottom of the page. Then click on the "Basic course" button. Then click "Next".
5. You will have the option to choose from 7 RCR courses; check the policy by personnel category to determine which you are required to complete. The last (seventh) choice is the "Interdisciplinary" course, which is shorter than the others and covers the most general topics. The first six are more detailed and very similar in content, with some different field-oriented examples. So, choose the RCRS course that most closely matches your discipline, but don't agonize over the choice.
6. You will see a message in green "your request has been successfully submitted". And under "Course" you will see "Responsible Conduct of Research in <your choice>" depending on which course your chose in #5. Click on that course name and follow the instructions. You may return and complete the different course modules at your leisure. We don't recommend trying to do the detailed courses all at once.

3. Have I already completed my on-line CITI training in Responsible Conduct of Research?

1. Go to https://www.citiprogram.org
2. Log in with your CITI Username and Password
3. Click on "My Reports" near the top of the web page
4. If you see something like the image below, then you have completed your on-line training in Responsible Conduct of Research and Scholarship.

Responsible Conduct of Research in The Biomedical Sciences

Stage	Completion Report #	Passing Score	Your Score	Start Date	Completion Date	Expiration Date	Completed Modules	Completion Report
Stage 1	11917802	80%	**97%**	12/12/2013	06/10/2014	06/10/2015		

5. If you do not see this in the list, then you have not completed your on-line training in Responsible Conduct of Research and Scholarship.
6. Ignore the "Expiration Date" you only need to complete this course once.