

Complementary Policy on the Responsible Conduct of Research and Scholarship
Department of Ecology & Evolution
April, 2019

In compliance with the Stony Brook University (SBU) policy on the Responsible Conduct of Research and Scholarship (RCRS; SBU Policy [P211](#)), the Department of Ecology & Evolution (E&E) has established a complementary policy for RCRS training. To ensure compliant completion of RCRS training for faculty, postdoctoral associates, research staff, graduate students, and undergraduate students involved in research and scholarship (the creation of new knowledge or the creation of novel expressions of knowledge in any form), these individuals will complete RCRS training consisting of two components: (1) On-line 'CITI' Training and (2) In-Person Training (IPT). The E&E complementary policy provides guidelines for departmental record keeping and suggestions for IPT activities.

1. On-Line Training Component

Following SBU Policy P211, the following groups of researchers are required to satisfy a **one-time completion** of relevant RCRS modules available through the web-based Collaborative Institutional Training Initiative (CITI) as specified below:

- A. Faculty, postdoctoral fellows, research staff, and graduate students in E&E.
- B. Undergraduate Students involved in research and scholarship activities under the supervision of E&E faculty, postdoctoral fellows, research staff, and/or graduate students.
- C. Visiting college-level students and visiting scholars who are collaborating on research activities with E&E faculty and graduate students. For those visitors from another institution, this SBU RCRS training requirement may be waived pending proof of completion of RCRS training at the home institution.
- D. High School Students involved in research and scholarship activities in E&E as required by the applicable High School Program.

In E&E, the relevant CITI RCRS modules can be selected from the Biomedical course or the Social & Behavioral Research course, dependent on the research and scholarship focus on the individual researcher.

The individual researcher will forward their completion certificate to the Assistant to the Chair for record keeping.

2. In-Person Training Component

To comply with federal requirements, each individual engaged in research or scholarly activities must complete 2 hours of IPT annually. E&E places an emphasis on completing 1 hour of IPT in the Fall Semester and 1 hour of IPT in the Spring Semester of each academic year.

IPT activities and courses will include discussions of relevant topics, such as:

- 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
- policies regarding human subjects, live vertebrate animal subjects in research, and safe laboratory practices

Formal mechanisms for training include access to GRD 500 courses for graduate students. In addition,

At least one E&E colloquium each academic year will be devoted to IPT. Less formal training will be conducted during laboratory meetings and gatherings of interested faculty, staff, and students.

Participants in IPT will submit evidence of their training to the Assistant to the Chair for record keeping.

Record Keeping and Mechanisms to Ensure Compliance

Principal Investigators of federal grants (e.g., NSF and NIH) with specific RCRS requirements will have primary responsibility for ensuring compliance with RCRS training requirements for those trainees supported by those grants.

The Assistant to the Chair will maintain a spreadsheet listing each member of E&E and a record of their training each semester.

At the start of each semester, individual members of E&E will be notified of the need to renew their IPT training.

Any activity intended to satisfy the RCR training requirement must be supported by appropriate documentation (attendance, topics covered, etc.).

Tracking of IPT for graduate students will be conducted through enrollment in a section of GRD500 specific to E&E. Students enrolled in this 0-credit course section will receive a satisfactory grade if their IPT is completed each semester. This GRD500 section will be associated with a Blackboard website, through which participants can share IPT modules, case studies, and discussions. All E&E faculty will have access to the

Blackboard grade book to register IPT training for their research staff and students. Supporting documentation will also be placed on Blackboard.

Suggestions for IPT Activities

The HHS Office of Research Integrity maintains a set of resources for training in the responsible conduct of research and training, covering a variety of issues, such as data acquisition and management, animal resources, and human subjects.

<https://oir.nih.gov/sourcebook/ethical-conduct/responsible-conduct-research-training>

<https://oir.nih.gov/sourcebook/ethical-conduct/responsible-conduct-research-training/resources-training-directors>

As one example, the following link provides guidelines for scientific record-keeping:

https://oir.nih.gov/sites/default/files/uploads/sourcebook/documents/ethical_conduct/guidelines-scientific_recordkeeping.pdf

Research groups might also decide to select a case study from a website such as the HHS Office of Research Integrity, for example:

<https://ori.hhs.gov/rcr-casebook-stories-about-researchers-worth-discussing>

E&E faculty are encouraged to develop additional resources for RCRS training and to share them through the departmental shared network drive and through the Blackboard website for the E&E-specific section of GRD500.