Responsible Conduct of Research and Scholarship Standard Operating Procedures

Contents

1 Responsible Conduct of Research and Scholarship

1.1 Applicability

The Responsible Conduct of Research and Scholarship (RCRS) policy applies to:
- All persons subject to Federal Responsible Conduct of Research (RCR) Guidelines and
- All other persons as follows:
  - Faculty, Post-doctoral Fellows, Research Staff, and Graduate Students as required by their home academic unit's **Complementary Policy**.
  - Undergraduate Students
    - As required by the Vice-Provost for Undergraduate Education; or
    - As required by an academic unit as part of an educational and/or research program.
- Visiting college-level students and visiting scholars who are collaborating on research activities with Stony Brook University faculty, as required by the **Complementary Policy** of the hosting faculty member's academic unit. For those visitors from another institution, the SBU RCRS training requirement may be waived pending proof of completion of RCRS training at their home institution.

2   Institutional Roles

2.1 Office of Research Compliance (ORC)

The Office of Research Compliance will:
- Maintain and chair the RCRS Committee and RCRS Subcommittee.
- Maintain an RCRS database for in-person training.
- Conduct or host workshops (upon request) on research involving animal subjects, research involving human subjects, research misconduct, financial conflict of interest, etc., in partial fulfillment of the RCR in-person training requirement.
- Assist in the development, management and organization of the GRD 500 series across disciplines.
- Foster collaboration between the disciplines by providing a central repository for sharing of program content (videos/lectures.)
- Foster collaboration between academic units by hosting an annual workshop meeting for discussion and sharing of RCRS policies and best practices.
- Monitor training required by federal granting agencies.

2.2 Academic Units

Academic Units will:
- Appoint a representative to serve on the RCRS Committee.
- Develop and maintain a Complementary Policy for their unit.
- Maintain records of RCRS in-person training.

2.3 RCRS Committee/Subcommittee

The RCRS Committee will:
- Share best practices
- Share training materials and resources
- Facilitate a comprehensive campus RCRS policy

The RCRS Subcommittee will:
- Review and approve academic unit's Complementary Policies.

2.4 Definitions

"Academic Unit": University areas with the designation of either school or college.

"Complementary Policy": Defines the academic unit's requirements for completion of RCRS training for their faculty, post-doctoral associates, research staff, graduate students, and undergraduate students involved in research and scholarship.

"In-Person Training": Face-to-face training that promotes interaction and discussion about responsible conduct of research and/or scholarship.

"On-line Training (CITI)": RCR modules available through the web-based Collaborative Institutional Training Initiative (CITI).

"RCRS Committee": RCRS Committee is comprised of a representative from each Academic Unit and is chaired by the ORC.

"RCRS Subcommittee": The RCRS Subcommittee is a subgroup of the RCRS Committee responsible for reviewing and approving the Complementary Policies.

"RCRS Database": A tool developed for use by the campus community to help ensure compliance with this policy, allowing designated individuals to enter, monitor, and report training completion data for their academic unit.

"Responsible Conduct of Research": The National Institutes of Health (NIH), in [NOT-OD-10-019](#), defines responsible conduct of research "as the practice of scientific investigation with integrity - it involves the awareness and application of established professional norms and ethical principles in the performance of all activities related to scientific research". Stony Brook University (SBU) is committed to establishing and maintaining a culture that fosters and values the ethical conduct of research and scholarship.

"Scholarship": The creation of new knowledge or the creation of novel expressions of knowledge in any form

2.5 Training

2.5.1 Required Training

Training requirements are defined by:
- Federal sponsors of research (NIH, NSF and USDA)

- Complementary Policies

On-Line Training
The Office of Research Compliance uses the on-line CITI Program for RCR training.

In-Person Training
In-person training promotes discussion and fosters a climate of ethical conduct of research and scholarly activities. Suggested topics (as relevant to a discipline):
- conflict of interest - personal, professional, and financial
- mentor/mentee - responsibilities and relationships
- collaborative research - including collaborations with industry
- peer review
- data management - acquisition and research tools; management, sharing and ownership
- research misconduct and policies for handling misconduct
- authorship and publication
- human subjects in research
- vertebrate animals as subjects in research

Additionally, the discussion of the scholar as a responsible member of society, contemporary ethical issues and the environmental and societal impacts of research in the discipline can be valuable topics of discussion.

Generation of discipline-specific requirements should consider formal mechanisms for training via RCRS coursework/lecture series/workshops, journal clubs, GRD 500 (as available); laboratory rotations; or other curriculum, as well as less formal training opportunities through faculty meetings; laboratory meetings; faculty/student retreats; departmental research days. Any activity intended to satisfy the RCR training requirement must be supported by appropriate documentation (attendance, topics covered, etc.).

2.5.2 Subawards

Federal sponsor RCR training requirements are flowed down to subcontractors as applicable. Subcontractors are responsible for monitoring their own compliance with federal sponsor RCR requirements.

2.5.3 Documentation

On-line Training
CITI Program maintains an electronic record of all completed training

In-Person Training

Principal Investigators are responsible for the documentation and retention of completion of sponsor required RCR in-person training. Academic Units are responsible for documentation and retention of all other records of in-person RCRS training.

Reporting to External Sponsors

Principal Investigators are responsible for reporting the completion of federal sponsor RCR training to the sponsor through the appropriate reporting mechanisms.

2.6 ORC Roles and Procedures

2.6.1 RCRS Education and Training

Workshops

Upon request, ORC will provide workshops on research involving animal subjects, research involving human subjects, research misconduct, financial conflict of interest, etc., in partial fulfillment of the RCR IPT training requirement.   To request a workshop, contact ORC or send an email to OVPR_RCR@stonybrook.edu.

GRD 500 Series

Upon request, ORC will assist in the development, management, and organization of any GRD 500 series courses across disciplines. For assistance contact the Office of Research Compliance or send an email to rebecca.dahl@stonybrook.edu.

Training Resources

ORC maintains a website that serves as the central repository for sharing of program content (videos/lectures). Website address: https://www.stonybrook.edu/commcms/research-compliance/Responsible-Conduct-of-Research-and-Scholarship/index.php

2.6.2 Annual Meeting

ORC hosts an annual meeting of the RCRS Committee to foster collaboration and share best practices.

2.6.3 Monitoring of Training Required by Federal Granting Agencies

National Institutes of Health (NIH)

ORC reviews an annual report (September) of NIH grants subject to the NIH RCR requirements. ORC confirms with each principal investigator that an appropriate training program has been implemented.

National Science Foundation (NSF)

ORC reviews a monthly report of all postdocs, graduate students and undergraduate students ("trainee") paid from NSF awards for the previous month. Any trainee being paid from a NSF grant receives correspondence from ORC regarding non-completion of training.

United Stated Department of Agriculture (USDA)
ORC reviews a monthly report of all persons paid from USDA awards for the previous month. Any persons being paid from a USDA grant receives correspondence from ORC regarding non-completion of training.