

SoMAS RCRS Policy July 22, 2017

Responsible Conduct of Research and Scholarship

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 (RCRS) 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 School of Marine and Atmospheric Sciences 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.

Compliance statement:

Each individual is responsible for entering their own RCRS training activity in the SoMAS RCRS database (found on the SoMAS Internal website; see ‘Attachment B’ for details). The Associate Dean for Research will use this database to identify any member of the SoMAS research community (faculty, staff, students, others) who has not completed the SoMAS RCRS requirements, notify them and request that they come into compliance by a deadline. Anyone remaining out of compliance will be referred to the Dean of SoMAS, and eventually reported to the Stony Brook University Office of Research Compliance if they fail to come into compliance.

Exemptions from the SoMAS RCRS Policy can be requested by faculty on behalf of themselves or their staff, students, etc. However, once an exemption is approved by the Associate Dean for Research, the exempt individual cannot engage in any research or scholarly activities and cannot have their name associated with any research publications or presentations. If an exempt person does participate in research or scholarly activity, they will be in violation of Stony Brook University Policy 211 and the violation will be reported to the Stony Brook University Office of Research Compliance.

SoMAS Complementary Policy:

Organized by personnel category (details about CITI and in-person training follow)

High School Students and other Visitors at any level

All persons performing research at SoMAS for more than four weeks (including, for example, Simons Summer Research Program and REU participants) must complete at least the CITI module Research, Ethics, and Society (RCR-Interdisciplinary) early in their research experience. Completion of the more comprehensive CITI program most appropriate to their discipline is also encouraged, as is participation in continuing 'in person training' when the opportunity arises.

Undergraduate Students

All undergraduates registered for research or internship credits (XXX487 or XXX488), and all undergraduates performing research not for credit (including as a volunteer, for pay, or during study abroad), must complete at least the CITI module Research, Ethics, and Society (RCR-Interdisciplinary) early in their research experience. This requirement applies whether the research or internship experience takes place on or off campus. Faculty will require a copy of the CITI completion page before assigning a grade for the course.

Undergraduates involved in research are encouraged to complete the more comprehensive CITI module most appropriate to their discipline, and to participate in continuing 'in person training' when the opportunity arises.

Graduate Students

All graduate students (MA [MCP], MS and PhD [Marine Science and Atmospheric Tracks]) are required to complete the full CITI module most appropriate to their discipline during their first year.

Additionally, MS and PhD students are required to complete 8 hours of initial 'in person training' during their first year. MS and PhD students are encouraged to seek out continuing 'in person training' to maintain at a rate of 2 hours per year starting in their second year. MCP students are also encouraged to take advantage of opportunities to participate in 'in person training' either in formal or informal settings.

Postdoctoral Scholars and Research Scientists

All Postdocs and Research Scientists must complete the full CITI module most appropriate to their discipline, and participate in continuing 'in person training' opportunities at a rate of 2 hours per year.

Lecturers and Visiting Assistant Professors

All faculty in teaching-focused positions who are not active in research or scholarship must complete at least the CITI module Research, Ethics, and Society (RCR-Interdisciplinary), and are encouraged to complete the full CITI module most appropriate to their discipline and to contribute to the availability of continuing 'in person training' opportunities by leading relevant discussions in classes, lab meetings, and other formal or informal forums.

However, any faculty in teaching-focused positions who are also actively engaged in research or scholarship should consider themselves to belong to the following category.

Research Faculty, Tenure-track, Tenured and Research-active Emeritus Faculty

All research-active faculty must complete the full CITI module most appropriate to their discipline, and are encouraged to contribute to the availability of continuing 'in person training' opportunities by leading relevant discussions in classes, lab meetings, and other formal or informal forums.

Each individual is responsible for entering their own continuing IPT activity in the SoMAS RCRS database (found on the SoMAS Internal website; see 'Attachment B' for details). This database is set up to record the general content of IPT discussions (the areas of RCRS covered), the time spent on each topic, and the attendees. This website also provides various RCRS resources and links to additional resources.

Organized by activity (3 parts: CITI, initial in-person training, continuing in-person training)

1. Online CITI program training:

EVERYONE involved in research is required to complete some training via CITI, choosing the course that best fits their status (see above) and research interests. This is a '1 time only' requirement; compliance is recorded in a central SBU database (details being determined).

The course choices are:

- Biomedical Sciences
- Social and Behavioral Sciences
- Physical Sciences
- Humanities
- Engineering
- For Administrators

Interdisciplinary Research, Ethics, and Society –required for visitors, undergraduates, instructors

The first six courses are very similar in content, except for some different details and examples.

See 'Attachment A' for details on accessing the CITI website. Instructions can also be found at

<http://research.stonybrook.edu/responsible-conduct-research-and-scholarship#rcrs-training>

2. Initial in-person training ('IPT'):

This is provided mainly for first-year MS and PhD students, who get ~1 hr RCRS IPT at orientation, and 7 additional hours in MAR568. MA students also get ~1 hr RCRS IPT at orientation.

Topics to be covered include:

- a. conflict of interest - personal, professional, and financial
- b. mentor/mentee responsibilities and relationships
- c. collaborative research including collaborations with industry
- d. peer review
- e. data acquisition and research tools; management, sharing and ownership
- f. research misconduct and policies for handling misconduct
- g. responsible authorship and publication
- h. the scholar as a responsible member of society, contemporary ethical issues and the environmental and societal impacts of research in the discipline
- i. policies regarding human subjects, live vertebrate animal subjects, and safe laboratory practices

3. Continuing '8 hours every 4 years' in-person training ('IPT'):

Anyone with NIH funding must comply with NIH requirements by continuing IPT for 2 hours each year. Everyone else is encourage to participate in making these discussions normal parts of our professional conversations.

Continuing IPT is provided by each faculty member/PI organizing RCRS-related discussions for their own research group, or teaming up with other faculty to accomplish this. It only takes 1 hour each semester (2 hours per year) to keep up with the most extensive NIH RCRS requirement.

Each individual is responsible for entering their own continuing IPT activity in the SoMAS RCRS database (found on the SoMAS Internal website; see 'Attachment B' for details). This database is set up to record the general content of IPT discussions (the areas of RCRS covered), the time spent on each topic, and the attendees. *It is strongly recommended that the last 5 minutes of any IPT session be allocated to everyone logging in and recording this information.* This website also provides various RCRS resources and links to additional resources.

Appendix A: Instructions for accessing the CITI on-line training

A. How to log onto the CITI Program to complete the on-line training

1. Go to <https://www.citiprogram.org>
2. On the upper right side of the screen, click “Log In”
3. Directly below the CITI Program logo, click “Log In Through My Institution”
4. Find and click on “SUNY - University at Stony Brook”
5. Enter your Stony Brook NetID and Password

B. How to find the required CITI course

1. The main menu on the page will have a top bar that says “SUNY – University at Stony Brook Courses.” Click on this blue bar.
2. Under the heading of “My Learner Tools” the first option is “Add a Course.” Click on this option.
3. The next page will have several options on the menu. Click on the first box, next to the words “I want to complete an RCR Course at this time.” Do not be concerned by the note that states that the course does not satisfy SBU Human Subjects training requirements.
4. Click “Next” on the bottom of the web page
5. Click on the “Basic course” button. Then click “Next” on the bottom of the page.
6. You will reach a page that tells you to choose the course mostly related to your discipline.
7. You will have the option to choose from several courses; choose the one that most closely matches your discipline. Many biologists will choose “Biomedical Sciences” or “Social and Behavioral Sciences”. Many focused on physics, chemistry, or geology will choose “Physical Sciences”. The “Research, Ethics, and Society (RCR Interdisciplinary)” course is only appropriate for the groups indicated in the SoMAS policy above. Then click “Next” at the bottom of the page.

C. How to find and download your completion certificate for the CITI training program

1. Once you have logged in to the CITI program website (see instructions in Part A) look for the menu bar across the top of the web page. Click on “My Reports”
2. You will see a list of the courses you have completed. Look for the heading matching the choice you made in step B7.
3. Once you have identified the course, look to the right side of the screen.
4. Under the column labelled “Completion Report,” click on “View/Print”. There will be a download-button on the top right of the screen (next to the icon of a printer). Download this PDF document and save it in your records.
5. Undergraduates (or others) completing CITI as part of the requirements for a formal course, upload your PDF document to the corresponding assignment on your course’s Blackboard page. Keep a copy for your records.
6. For all others, access the SoMAS RCRS database as described in Appendix B and record your completion. Keep a copy of the report for your records.

Congratulations!

You have completed the Collaborative Institutional Training Initiative (CITI program) training on Responsible Conduct of Research (RCR)

Ignore the “Expiration Date.” You only need to complete this course once.

Appendix B

Using the SoMAS on-line Responsible Conduct of Research and Scholarship Database

1. How do I access the SoMAS RCRS database?

First navigate to the SoMAS internal web page

1. Go to <http://www.somas.stonybrook.edu/about/internal/>
2. Near the top, click "SoMAS Intranet on Share Point (NetID required)"
3. Login using your stonybrook.edu credentials (netID and password)
4. The address for the RCRS page is
https://stonybrook365.sharepoint.com/sites/somas/rcrs/_layouts/15/start.aspx#/SitePages/Home.aspx
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 enter my continuing IPT activity?

1. Click "Training Database"
2. You can sort or search the database to find your previous entries, and use previous entries as a model for how to enter you own activities
3. To create a new entry, click "new item"
4. Add the information requested, including using the 'notes' field to indicate the forum and other people involved.