



## RESPONSIBLE CONDUCT IN RESEARCH POLICY

### Policy Statement

A. External Grant/Contract Submission

All grant and contract applications submitted to external sponsors must be cleared through the Grants Development Office (grants and some contracts) and/or Sponsored Programs (contracts), and approved by the College's Authorized Organizational Representative.

B. Fiscal Administration

All externally funded awards to SUNY Oneonta for research, training, programs, curriculum development, etc. are fiscally administered by the Research Foundation for SUNY.

C. Responsible Conduct in Research (RCR) Training

RCR training is provided by the Collaborative Institutional Training Initiative (CITI) online training program through the University of Miami: <https://www.citiprogram.org/>. The applicable module(s) of this web-based program must be taken by faculty, staff and students conducting research funded by campus-based or external funding prior to accessing awarded funds.

D. Conflict of Interest

The College follows the SUNY RF policy on Conflict of Interest:

[https://portal.rfsuny.org/portal/page/portal/The%20Research%20Foundation%20of%20SUNY/home/commercialization/comm\\_policies\\_guidance/conflict\\_of\\_interest\\_policy](https://portal.rfsuny.org/portal/page/portal/The%20Research%20Foundation%20of%20SUNY/home/commercialization/comm_policies_guidance/conflict_of_interest_policy). All

researchers at SUNY Oneonta who are applying for and/or working on federally-funded projects are required to submit a Conflict of Interest Disclosure form annually:

<http://www.oneonta.edu/admin/spa/policies/disclosure%20statement%20COIP.pdf>. All researchers applying for awards from Public Health Service funding sources (the National Institutes of Health [NIH] or other agencies affiliated with the U.S. Department of Health and Human Services [DHHS]) must complete the Conflict of Interest CITI online training course and the PHS Significant Financial Interest Disclosure Form.

E. Human Subjects Research

All research that involves human subjects requires review by the College's Institutional Review Board (IRB) prior to the project commencing. SUNY Oneonta faculty and staff who intend to conduct research involving human subjects, whether using sponsored program (grant/contract) funds or not, should complete and submit an IRB Review Form early in the research design phase. These individuals must also be certified via the CITI course on use of human subjects in research (<https://www.citiprogram.org/>) before the IRB will approve their research involving human subjects. See <http://www.oneonta.edu/admin/spa/humansubjects.asp>.

F. Animal Research

All research that involves animals requires review by the College's Institutional Animal Care and Use Committee (IACUC) prior to the project commencing. The IACUC is a self-regulating entity that, according to U.S. federal law, must be established by institutions that use laboratory animals for research or instructional purposes to oversee and evaluate all aspects of the institution's animal care and use program. See <http://www.oneonta.edu/admin/spa/animalcareuse.asp>.

**G. Export Controls**

Employees traveling to any country outside the United States must complete and submit an Export Control Survey form to the Sponsored Programs Office for review prior to travel. See <http://www.oneonta.edu/admin/spa/exportcontrols.asp>.

**H. Scientific Misconduct**

The College is committed to a confidential, diligent and thorough examination of any allegation of scientific misconduct. Any member of the campus community who has a concern about scientific misconduct should immediately contact either the Office of the Provost/Vice President for Academic Affairs or the College's Scientific Misconduct Policy Officer (appointed by the Provost/Vice President for Academic Affairs), who can advise them on how to proceed. See <http://www.oneonta.edu/admin/spa/scimisconduct.asp>.

**I. Research Integrity Officer**

Through its Office of Research Integrity (ORI) (<http://ori.hhs.gov/>) the U.S. DHHS requires each institution that will apply for and/or receive funding via DHHS-affiliated agencies (e.g. NIH) to maintain a Research Integrity Officer (RIO). The SUNY Oneonta RIO is appointed by the Provost/Vice President of Academic Affairs and is responsible for addressing allegations of misconduct involving DHHS-supported projects in accordance with the College Policy on Scientific Misconduct, as well as submitting routine reports on research integrity matters to the DHHS. Any member of the campus community who has a concern about scientific misconduct regarding a project funded by the DHHS should immediately contact either the Office of the Provost/Vice President for Academic Affairs or the RIO, who can advise them on how to proceed.

**J. Review**

The Responsible Conduct in Research Policy shall be reviewed every three (3) years.

**Rationale**

RCR can be an important component of the intellectual vitality and integrity of an institution of higher education. From both the legal aspects of compliance with sponsor policies to the generation of data that is of high quality and capable of withstanding peer-review, RCR policies serve to guide the institution, investigators and students. SUNY Oneonta is committed to ethical and best practices in research. This policy has been developed to provide necessary training and routine administrative and faculty-led oversight in the responsible and ethical conduct of research. The training that the RCR mandates is focused on enhancing the educational experience and professional preparation of students, faculty and staff, while simultaneously demonstrating an institutional commitment to RCR and compliance with the requirements of various external sponsors.

**Applicability of the Policy**

This policy applies to all SUNY Oneonta faculty, staff and students applying for and/or receiving grant or contract funding from either campus-based or external funding sources.

**Policy Elaboration****External Grant/Contract Submission**

All external applications for funding require routing to, and sign-off by, various campus officials, depending on project scope. It is not permissible for faculty, staff or students to

independently accept funding for research being conducted by virtue of their relationship with the College, or which uses any space or equipment belonging to the College.

### RCR Training

*For external research grant/contract applications and applications to the campus-based Faculty Research Grant Program:* RCR training certification for faculty or staff researchers (including postdoctoral research associates) is required prior to accessing awarded funds. Student assistants/researchers assigned to funded research must have RCR training certification prior to commencing work on the project. A maximum of twenty four (24) months can transpire between completions of the appropriate training modules in the CITI program. Training can be updated every 24 months by completing either (a) the full CITI course, or (b) if available, the appropriate CITI refresher course. The choice is at the discretion of the person completing the training.

*For the campus-based Student Grant Program for Research and Creative Activity:* RCR training certification is required prior to accepting awarded funding and commencing funded work; faculty member(s) named as sponsor/advisor on a student research project must also have CITI certification. The 24 month training refresher requirement also applies to students, faculty or staff (including postdoctoral research associates) applying to this program.

*Transfer of Training from Other Institutions:* Training provided by other institutions, during the course of collaborative or subcontracted research, will be accepted if CITI courses or modules identical to those required at SUNY Oneonta have been completed. It is the responsibility of the individual completing the training to provide documentation of completion to the CITI Certification Administrator at SUNY Oneonta.

Follow instructions on the CITI website (<https://www.citiprogram.org/>) to take applicable course(s). Contact the campus CITI Certification Administrator if you are uncertain which CITI courses or modules apply to your area(s) of research.

### Export Controls

“Export controls” are the U.S. regulations, technology control lists and entity/person denial lists that restrict the release to foreign nationals in the U.S. and abroad of controlled technologies, chemical and biological material, technical data and software code, and equipment and research tools. They apply to goods, materials, tests, software and technology (including information and technical data), and technology transfers from the U.S. to certain foreign nationals. A wide range of high-technology items and associated technologies are subject to export controls within the SUNY system. To facilitate compliance with these regulations, SUNY Oneonta requires that all employees who seek external or on-campus funding for projects that require international travel complete an export control survey and follow all applicable procedures. If the review indicates the possibility that an export control license may be required, the employee shall work with the Sponsored Programs Office to complete the license review and, if needed, the licensing process.

### **Forms**

Conflict of Interest form: required annually by all externally-funded Principal Investigators:  
<http://www.oneonta.edu/admin/spa/policies/disclosure%20statement%20COIP.pdf>

IRB Review form (application): required for all projects involving work with Human Subjects:  
<http://www.oneonta.edu/admin/spa/export%20controls/IRBReviewForm.pdf>

Export Control Survey Form (for overseas travel):  
<http://www.oneonta.edu/admin/spa/exportcontrols.asp>

**Contacts**

*Questions related to the daily operational interpretation of this policy should be directed to:*  
Sponsored Programs Office or Grants Development Office

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**Effective Date**

Approved by Cabinet on 09/13/2013