As members of the Sam Houston State University (SHSU) community, all faculty, students, and staff have a responsibility to foster and sustain the highest ethical standards in the pursuit of research and scholarly activities. All extramural research sponsors assign primary responsibility to universities for detecting and preventing research misconduct, and for establishing a culture that emphasizes responsible conduct of research. Federal concern for ethical standards in research has increased dramatically in recent years and has led the Federal Government's Office of Research Integrity to conduct more investigations when research misconduct is discovered or reported. The Office of Research Integrity defines **research misconduct** as "Fabrication, falsification, or plagiarism in proposing, performing, or reviewing research or in reporting research results."
Source: Office of Research Integrity website: http://ori.hhs.gov/policies/fed_research_misconduct.shtml

A determination of research misconduct can result in severe penalties to researchers and can negatively impact their institution. Increasing research funding at SHSU requires that the University maintain the highest ethical standards. The mere insinuation of impropriety can have severe negative effects.

1. COLLABORATIVE INSTITUTIONAL TRAINING INITIATIVE (CITI)

   In order to address and minimize the potential for misconduct in research, as well as meet Federal compliance standards for training, SHSU has established a training program through the Collaborative Institutional Training Initiative (CITI). ***Completion of this program is encouraged for all faculty and students and, when required by external agency funding the research, shall be mandatory.***

   This educational program is a web-based, self-paced ethics training curriculum. It consists of individual course modules followed by short multiple-choice quizzes. Modules do not have to be completed at one time. Applicants register themselves, can access their records at any time, request new passwords, and print out their own completion report (certificates). Because of its simplicity and wealth of ethics information, faculty may want to require all students they oversee, that are involved in research activities, to obtain certification in the Responsible Conduct in Research. CITI courses offered through SHSU should take approximately three to four hours to complete.

   The CITI course, *Responsible Conduct of Research (RCR) for Social, Behavioral, and Education (SBE) Sciences* is a comprehensive online training tool that consists of one optional and seven required RCR modules:

(1) Introduction to the Responsible Conduct of Research;
(2) Mentoring;
(3) Data Management;
(4) Collaborative Research;
(5) Research Misconduct;
(6) Conflicts of Interest; and
(7) Responsible Conduct of Research (RCR) Course Conclusion;
(8) Plagiarism (Optional Module)

At SHSU, there are two additional CITI courses offered to faculty, staff, and students: the first course is titled *Humanities RCR*, and the second course is titled *Physical Science RCR*. The two previously mentioned courses are designed for students taking Humanities (including but not limited to Psychology, Sociology, and Political Science) or Physical Science (e.g., Physics, Mathematics and Statistics, Biological Sciences, and Chemistry) courses in which their professor encourages/requires RCR training. The courses are designed for faculty and staff in the College of Humanities and Social Science or College of Sciences. Both courses contain the same modules, but depending on which course is completed, one course contains Humanities-based case studies, while the other course contains Physical Sciences-based case studies. The following are the titles of each module:

(1) Introduction to the Responsible Conduct of Research
(2) Research Misconduct (RCR-Humanities or RCR-Physical Sciences)
(3) Data Management (RCR-Humanities or RCR-Physical Sciences)
(4) Authorship (RCR-Humanities or RCR-Physical Sciences)
(5) Peer Review (RCR-Humanities or RCR-Physical Sciences)
(6) Mentoring (RCR-Humanities or RCR-Physical Sciences)
(7) Conflicts of Interest (RCR-Humanities or RCR-Physical Sciences)
(8) Collaborative Research (RCR-Humanities or RCR-Physical Sciences)
(9) Responsible Conduct of Research (RCR) Course Conclusion

2. INSTRUCTIONS AND REGISTRATION

Training is available through SHSU's ORSP website page titled CITI Training. Access training by reviewing the instructional document for SHSU student researchers or the instructional document for faculty/staff researchers. The CITI Program's website URL is www.citiprogram.org.

3. RESEARCHERS REQUIRED TO TAKE CITI TRAINING

   a. All faculty/staff/students conducting research with Human Subjects or Animal Subjects;

   b. All faculty members supervising students conducting the previously mentioned types of research; and

   c. All faculty/staff/students as required by external agencies distributing federal funds.

   <u>No exemptions are authorized unless specifically approved in writing by the SHSU Research Compliance Coordinator, Office of Research and Sponsored Programs.</u>

4. TRAINING DEADLINE

   Applicants submitting an IRB or an IACUC application must complete the CITI training course before their application will be processed. The IRB or the IACUC application can be started prior to course completion, but the training must be completed by the time the application reaches the ORSP.

   The ORSP can access information about applicants' course progress but does not have access to CITI passwords and usernames. Applicants must retrieve that information themselves directly from the CITI website. Applicants needing a copy of their completion report should download it directly from the CITI website.

5. FREQUENCY OF TRAINING REQUIREMENT

   It is not necessary for applicants to repeat the CITI course every time a proposal is submitted. Applicants' completion report will remain on file in the ORSP. The CITI certification for applicants will be valid for five years from date of course completion. Applicants must ensure that each of the appropriate CITI modules have been successfully completed within the allotted time period.

6. VERIFICATION OF COURSE COMPLETION

   It is not necessary for applicants to notify the ORSP that they have completed the training—the CITI system notifies the Research Compliance Coordinator and the applicant simultaneously within 24 hours of course completion.

7. RESPONSIBILITIES OF THE PI

    a. To ensure that all investigators (faculty/staff/students) successfully complete the appropriate CITI training course

    b. To report any unnamed or TBD individuals to appropriate personnel in the Office of Research Administration (ORA)

    c. To report any changes, such as additions or deletions to proposal to the ORA

    d. To request and document all approved exemptions to the ORA

8. CONSEQUENCES FOR NOT COMPLETING THE RCR TRAINING

    For Classroom/Thesis/Regular IRB applicants and for IACUC applicants not applying for federal funding, applications will be held at the ORSP until the CITI completion reports are received.

    For faculty/staff/students who have received federal funding, federal funds may be withheld, until the CITI training requirements are met.

    Other actions as deemed appropriate by the Associate Vice President of ORSP may be taken.

9. CONTACT INFORMATION

    Maintenance of RCR records, approval of exemptions from training requirements and coordination of other research compliance issues are responsibilities of the SHSU Research Compliance Coordinator in the Office of Research and Sponsored Programs.

    APPROVED:_____< signed >_____
                   Dana G. Hoyt, President

    DATE:_____6/17/15_____

ORSP Policy 11/15/2011
Revised 02/16/2015

CERTIFICATION STATEMENT

This academic policy statement (APS) has been approved by the reviewer(s) listed below and represents SHSU's Division of Academic Affairs' policy from the date of this document until superseded.

Original: April 25, 2014   Review Cycle: April 1, ENY*
Reviewer(s):   Council of Academic Deans   Review Date: April 1, 2018
                      Faculty Senate
                      Academic Affairs Council

Approved:____< signed >_____   Date:_____6/18/15_____
                 Jaimie L. Hebert
                 Provost and Vice President
                 for Academic Affairs

*ENY = Even Numbered Year