

In compliance with the Stony Brook University policy on the Responsible Conduct of Research and Scholarship, the Department of Mathematics has established a departmental 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 these individuals will complete RCRS training consisting of two components:

(1) On-line 'CITI' Training and (2) In-Person Training (IPT)

The policy of the Department of Mathematics provides guidelines for departmental record keeping, notification of training requirements, and suggestions for IPT activities.

1) Online Training

The following groups of researchers are required to satisfy a one-time completion of one of the RCR modules provided through the web-based Collaborative Institutional Training Initiative (CITI).

- Faculty, research staff, postdoctoral fellows, and graduate students in one of the department's degree granting programs.

2) In-Person Training (IPT)

To comply with university requirements, each individual engaged in research or scholarly activity must complete 8 hours of IPT every 4 years, or 2 hours of IPT annually. The IPT will include discussions of relevant topics, such as:

- conflict of interest (personal, professional, financial),
- mentor/mentee responsibilities and relationships,
- collaborative research (including collaborations with industry where relevant),
- responsible authorship and publication and peer review,
- research/scholarship misconduct and policies for handling misconduct,
- the researcher/scholar as a responsible member of society.

The American Mathematical Society (AMS) has developed a policy statement covering many of these issues, available at <http://www.ams.org/about-us/governance/policy-statements/sec-ethics>. We will use this as the basis for the discussions.

Graduate Students and Postdocs. The department runs several professional development seminars aimed at graduate students and postdocs. We will devote at least two meetings annually of these seminars to a discussion of RCRS-related matters, and will document these activities and their attendance. We also run a Teaching Practicum for new incoming graduate students, and will devote at least one session to such questions. Graduate students will be required to enroll in GRD500.

IPT by Doctoral Mentors. Faculty have a great deal of individual and informal contact with the PhD students that they supervise, and this is where much of the professionalization of our students takes place. While this has long been happening on an informal basis, we will explicitly ask faculty to discuss

norms of responsible research with their students and other mentees, and to document these conversations. We will count this individual instruction as part of the individual faculty member's IPT requirement.

REU Participants. The main research involvement by undergraduates takes place in connection with Research Experiences for Undergraduates (REU) projects that are sponsored by our NSF Research Training Grant. We will ask each faculty advisor to discuss RCRS issues with their mentees, and to document these discussions.

3) Notification of RCRS Requirements

The Chair will notify all faculty and postdocs of the RCRS training requirements at the opening faculty meeting of each academic year. The Chair and the Graduate Program Director will inform graduate students of these requirements. The RTG director will oversee the IPT of REU participants.

4) Record Keeping

- Records on completion of the CITI online RCRS training are kept for all members of the department through the web-based CITI data base.
- Completion of IPT is indicated through a passing grade in the relevant courses, records are kept through the universities Peoplesoft data base.
- The graduate program coordinator will keep attendance records of the annual Graduate Orientation. We will likewise keep records of attendance at the relevant meetings of the Professional Development Seminars.
- We will develop a Google spreadsheet for keeping records of RCRS-related discussions between graduate students and their advisees.