



THE RESEARCH FOUNDATION
The State University of New York

COMPLIANCE REFERENCE GUIDE *for* RESEARCHERS

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Whether you're a seasoned researcher or about to begin your research career, you need to know about key compliance issues. This brochure, brought to you by the Sponsored Program Advisory Council's (SPAC) Compliance Committee, highlights the Research Foundation's (RF) basic research principles, provides compliance definitions and policies and lists Web sites to go to for more information.

For Additional Information, Please Contact Your Local Sponsored Programs Office.

THE RESEARCH FOUNDATION
and THE STATE UNIVERSITY OF
NEW YORK

The Research Foundation (RF) is a private, nonprofit educational corporation dedicated to serving the State University of New York (SUNY) by providing the professional programs and services necessary for SUNY to be recognized as the premier provider of public higher education in the world. This includes administration of externally funded sponsored programs for SUNY. The RF carries out its responsibilities pursuant to a 1977 agreement with SUNY, which designates the RF as the only party that may enter into and sign an agreement with a sponsor for externally funded SUNY research.

BASIC RESEARCH PRINCIPLES

Respect the laws and customs of the governments, territories, communities and cultures in which the research is conducted.

Protect the privacy and rights of the students and participants.

Follow the regulations of the sponsor, and the policies and procedures of the RF and SUNY.

Conduct research that is ethical within the policies and procedures of the RF, SUNY, your academic discipline and your professional association(s).

Communicate research results clearly and appropriately with respect to your discipline and academic profession.

Adhere to the policies and procedures of your Institutional Review Board (IRB) and Institutional Animal Care and Use Committee (IACUC) for the protection of human participants and animal subjects.

Ensure that no conduct endangers or infringes upon the health, safety, peace-of-mind or human rights of research participants and other persons encountered in the course of research.

Publish the research results in compliance with the terms and conditions of the sponsored award.

DEFINITIONS

Authorship: Substantial and direct intellectual contribution to the project.

Cost Sharing: Costs necessary for the conduct of the project which are not funded by the sponsor but are usually an institutional contribution. Any cost sharing indicated in the proposal becomes a commitment at the time of award. Any proposed cost sharing approved by the sponsor **MUST** be contributed, and these costs may not come from another federal project. Any deviation requires sponsor approval.

Direct Costs: Expenses budgeted as necessary for the conduct of the project. Salaries, equipment, supplies and travel are examples of direct costs.

Effort Reporting: Certifies actual time devoted to the project by all project staff, and must be certified by the employee or someone with firsthand knowledge of the employee's activities in a timely fashion. Effort reports should capture all University compensated activities. Sponsor approval is needed for significant changes in effort.

Facilities and Administrative (F&A) costs: Formerly known as indirect costs, these are expenses associated with the use of University facilities and various administrative costs that cannot be directly and uniquely assigned to any particular project. Examples of F&A costs include administrative support, workspace, maintenance and utilities.

Principal Investigator/Project Director/Program Director: Person responsible for all aspects of the grant award.

Program Official: Individual within the sponsoring organization responsible for technical aspects of the project.

COMPLIANCE POLICIES

There are many laws, circulars and regulations that govern the conduct of sponsored programs. Listed below are the areas that have compliance policies. If you have any questions about whether or not these policies apply to the work you're performing, please contact the sponsored programs contact listed in this brochure.

Conflict of Interest: Faculty should be familiar with and abide by their institutional conflict of interest policies. Faculty should avoid actual or apparent conflict of interest between their institutional obligations and their outside interests.

Export Controls: Regulate the disclosure, shipment, transfer or transmission of any commodity, technology or software that's on the Commerce Controlled List (CCL), Munitions List (ML) or the Office of Foreign Assets Control (OFAC) embargoed list for use outside the U.S.

HIPAA: The Health Insurance Portability and Accountability Act (HIPAA) limits the use of protected health information that is held or transmitted in any form or media whether electronic, written or oral to protect the privacy of patient health information.

Human and Animal Protections: Research protocols must be approved by the IRB to ensure the protection of human participants, and by the IACUC for the use of vertebrate animals, before conducting any research. The principal investigator and staff participants must complete certified training prior to engaging in research using human or animal subjects.

Intellectual Property/Research Data: All inventions, software, data or other records produced under a sponsored agreement, except where precluded by specific terms of the agreement, belong to the RF. The RF will take active steps to bring the technology to the marketplace for the benefit of the inventor, the inventor's campus, SUNY, the industry and the public. All inventions should be promptly reported to the sponsored program office at the inventor's campus.

Research Misconduct: Fabrication, falsification or plagiarism in proposing, performing and reviewing research or in reporting research results. Essentially, it's any misrepresentation of the RF's or SUNY's mission or of the researchers' status within the RF or SUNY.

RESOURCES

Name	Abbreviation	Web site
The Research Foundation	RF	www2.rfsuny.org
The State University of New York	SUNY	www.suny.edu
National Institutes of Health	NIH	www.nih.gov
National Science Foundation	NSF	www.nsf.gov
Office for Civil Rights	OCR	www.hhs.gov/ocr
Office of Human Research Protections	OHRP	www.hhs.gov/ohrp
Office of Laboratory Animal Welfare	OLAW	www.grants.nih.gov/grants/olaw/olaw.htm
Office for Research Integrity	ORI	http://ori.dhhs.gov
Office of Science and Technology Policy	OSTP	www.ostp.gov
U.S. Department of Agriculture	USDA	www.usda.gov
U.S. Department of Health and Human Services	DHHS	www.os.dhhs.gov

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Contact Information: