

Research Compliance at the City University of New York

Research Compliance Team within the Office of Research

The [research compliance](#) team within the Office of Research is responsible for developing and implementing institutional policies, procedures and guidance, which ensure that CUNY conducts its research in a manner that is consistent with all applicable regulations, statutes, sponsor requirements and ethical standards. The Office of Research also offers education and training in all areas of compliance, and performs quality improvement functions.

Research Compliance Functions at CUNY Colleges & Schools

Each College or School appoints individuals to serve in various compliance functions, as defined below. These individuals implement CUNY policies and procedures at the College/School, raise awareness amongst their research community, provide education and training and perform quality improvement functions as applicable to the College/School.

What Research Compliance Roles are required at each CUNY College or School?

GRANTS OFFICER: Assures compliance with CUNY policies and sponsor's terms and conditions in all [sponsored research](#) projects.

RESEARCH INTEGRITY OFFICER (RIO): Provides comprehensive training in [responsible conduct of research](#) in accordance with CUNY's Policy on Training in Responsible Conduct of Research. Receives allegations of research misconduct, secures evidence and conducts research misconduct inquiries in accordance with CUNY's Policy Regarding the Disposition of Allegations of Research Misconduct.

HUMAN RESEARCH PROTECTION PROGRAM (HRPP) COORDINATOR: Serves as the first point of contact for human subject researchers, conducts exempt reviews, facilitates expedited reviews, and conducts initial administrative/policy reviews of convened Institutional Review Board (IRB) submissions.

EXPORT CONTROL ADMINISTRATOR: Performs case analysis of collaborative research involving controlled materials and/or non-US collaborators¹ within or outside the US; provides travel briefings; makes screening requests; ensures compliance with any technology control plans, government issued authorizations or licenses.

COLLEGE CONFLICTS OFFICER: Receives and reviews financial [conflict of interest](#) disclosure forms; ensure compliance with any applicable conflict management plans issued by CUNY Conflicts Committee.

POINT PERSON FOR RESEARCH AGREEMENTS: Receives requests for agreements and facilitates their processing. Example agreements include, but are not limited to, Collaborative Research Agreements, Data Use Agreements and Data Transfer Agreements.

¹ A non-US collaborator is an individual who is not a United States citizen, permanent resident or political asylee; a company that is not incorporated in the United States; foreign governments; and international organizations.

ANIMAL WELFARE TEAM (where applicable): Includes Institutional Animal Care and Use Committee (IACUC) members and staff, and animal facility staff. Establishes College/School policies and procedures for the local animal program to ensure compliance with all applicable regulations.

INSTITUTIONAL BIOSAFETY COMMITTEE (IBC) (where applicable): IBC members and staff establish College / School policies and procedures with respect to oversight of research involving recombinant or synthetic nucleic acid molecules.

Strictly College/School Based Policies and Procedures

TOTAL INSTITUTIONAL EFFORT: Total institutional effort of a faculty member may include teaching, service and/or research. Each CUNY College and School is responsible for establishing a policy that defines the expectations for their faculty in terms of distributing the Total Institutional Effort during the 9-month Academic Year and 3-month Summer Period.

APPROVAL OF EFFORT: Each CUNY College and School is responsible for establishing procedures for the review and approval of any Effort of a PI and other non-faculty members listed on a research proposal, and for ensuring that other activities of the PI will not conflict with the proposed effort commitment.

TRACKING OF EFFORT: Each CUNY College and School is responsible for establishing procedures for tracking and monitoring effort commitments, salary charges, and cost sharing on all applicable awards. The College or School procedures should include processes for checking effort certifications for accuracy during the review period and for monitoring effort certification to ensure completion within the effort certification period.

REASSIGNED TIME: A College or School may grant reassigned time from normal teaching responsibilities to faculty for a specified time period to pursue approved academic projects. Each CUNY College and School is responsible for establishing a policy, which allows for the approval of reassigned time, while ensuring that it is consistent with the appropriate budgetary and faculty arrangements so as not to disrupt the instructional program or other vital operations of the University.

APPROVAL OF SUMMER EFFORT: Each CUNY College and School is responsible for establishing procedures for reviewing and approving any proposed effort by a PI and other non-faculty members for execution during the Summer months. The procedures should include a process for ensuring that other summer activities of the PI will not conflict with the proposed effort commitment.

TRACKING SUMMER EFFORT AND SUMMER SALARY: Each CUNY College and School is responsible for establishing procedures for tracking and monitoring effort commitments, salary charges, and cost sharing during the 3-month Summer Period. The procedures should include a process for checking effort certifications for accuracy during the review period and for monitoring that effort certification are completed within the certification period.

PI QUALIFICATIONS: Each CUNY College and School is responsible for establishing a policy that sets forth the eligibility requirements for individuals who may submit grant proposals and serve as PIs of sponsored research and programs on behalf of the respective College or School.

INCENTIVES FOR RESEARCHERS: CUNY strongly encourages each College and School to develop an internal policy for incentives to researchers that applies net investments of the salary and fringe benefits, as well as overhead costs, covered by the sponsored projects to further the College or School's research enterprise. Incentive systems may be designed to return a percentage of the funds to support research by individual investigators, teams of researchers, research by a department, school or other unit, or any combination thereof. PLEASE NOTE: Summer salary paid by a grant or contract is not eligible for any incentive funding.