UWM RESEARCH INTEGRITY TRAINING POLICY

No: 14-07

Date: June 2024

Authority: -America COMPETES Act
-National Institute of Health (NIH)
-National Science Foundation (NSF)
-U.S. Department of Agriculture, National Institute of Food and
Agriculture (USDA/NIFA)
-UWS8

Initiator: Vice Provost for Research, Office of Research

Responsible Party: Vice Provost for Research, Office of Research

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I. Purpose
UWM strives to foster the highest scholarly and ethical standards among its students, faculty, and staff. UWM personnel involved in research are expected to practice research integrity, abiding by established state and federal laws, professional norms, and ethical principles in the performance of their scholarly activities.

II. Policy
UWM requires all faculty, and those academic staff who have been approved to serve as Principal Investigators, to complete relevant institutionally required research integrity training. Required training modules are determined by the Provost or their designee (Attachment A).

In addition, UWM requires faculty, staff, and students subject to federal training requirements to complete the relevant necessary trainings (Attachment B).

This policy sets minimum research integrity training requirements. Additional requirements may be imposed by the relevant grant agency, unit, or other interested party.

Principal Investigators who do not fulfill their institutional or federal training requirements may be subject to administrative consequences, in addition to potential disciplinary action. Administrative consequences for noncompliance may include, but are not limited to, a hold placed on services associated with proposal submission or the set-up of project accounts for spending funds for new or continuing projects.

III. Resources
Guidance for institutional research integrity training and federal Responsible Conduct of Research (RCR) training can be found on the Research Integrity page of the Office of Research website.

IV. Contact Information
Office of Research

<u>Attachment A – Institutionally-Required Research Training Modules</u>
Implementation date: August 15, 2024

All faculty and PI-approved academic staff are required to complete the following UWM Research Integrity Training (RIT) modules. Auditing of completion will occur at the time of external or internal award setup.

Responsible Conduct of Research (RCR) Training (CITI) – A suite of training modules covering topics in research ethics and integrity.
(<u>Auditing of completion begins 08/15/24</u>)

Performing Research or Creative Work at UWM (Canvas) – Training module with overview of resources, compliance requirements, and additional training and education for the faculty and PI-approved academic staff.
(<u>Auditing of completion begins 07/01/25</u>)

Pre-Award Roles and Responsibilities (Canvas) – Training module covering specific guidance for the critical elements of the pre-award stage (proposal submission through post-submission activities), including funding guidelines, policies and procedures, and tools.
(<u>Auditing of completion begins 07/01/25</u>)

Post-Award Roles and Responsibilities (Canvas) – Training module covering specific guidance for the critical elements of the post-award stage (award acceptance through project closeout), including negotiation and planning, setup requirements, review and reconciliation, and approvals.
(<u>Auditing of completion begins 07/01/25</u>)

Attachment B – Externally-Required Research Training Modules
Implementation date: August 15, 2024

Training Topic	Target Population	Description	Compliance Check
Compensation Compliance	Current Project PIs	Supports the process for reviewing and certifying payroll costs applied on sponsored projects under the direction of the PI.	OSP Award Setup
Financial Conflict of Interest	Applicants for PHS Funding	Provides instruction on conflicts of commitment and interests as defined by federal agencies and accommodates managing or eliminating conflicts.	OSP Proposal Submission
Export Controls in Research	Engaged in Export-Controlled Work	Outlines requirements for export controls as defined by the federal government.	OSP Award Setup
Human Subjects Use	Engaged in Human Subjects Research	Outlines and demonstrates ethical principles and how the Institutional Review Board (IRB) reviews and approves the use of human subjects for research.	OSP Award Setup
Animal Subjects Use	Engaged in Research with Vertebrate Animals	Various online and in-person training courses, as required by the UWM Institutional Animal Care and Use Committee (IACUC), demonstrating humane animal care, handling, and ethical principles when using vertebrate animals in research.	OSP Award Setup
Institutional Biosafety	Engaged in Research with Recombinant / Synthetic Nucleic Acid Molecules or other Biohazardous Materials	Various biosafety training courses, as required by the UWM Biosafety Program and Institutional Biosafety Committee (IBC), for the use of r/sNA or biohazardous materials in research.	OSP Award Setup
Responsible Conduct of Research	PIs, Key Personnel, and Students engaged in research sponsored by NIH, NSF and USDA	Federal responsible conduct of research (RCR) training requirements vary by agency. A list of specific training requirements for each agency can be found at: RCR by Agency *Note that the Institutional RCR requirement will satisfy this for PIs.	OSP Award setup / Progress Report Submission