

Trail for development and review of Research Misconduct Policy

2015-2016

During the 2015-2016 Academic Year, Matt Richter, Compliance Manager, began the process of reconciling the two existing Research Misconduct Policies (S45.5 -- Faculty and S45.7 – Academic Staff). A combined policy was drafted. After review by the Faculty Rights and Responsibility Committee, the Academic Staff Committee, and legal counsel, there was no consensus on the combined policy and there was concern that the policy did not include other categories of individuals who might also be alleged to have engaged in research misconduct.

2016-2017

In February 2017, UW-Madison's policy on Misconduct in Research (II-314) was issued. This policy was applicable University-wide to any faculty, staff, student or other who may be involved in research misconduct.

Between February and April 2017, Rachel Schiffman, Associate Vice Provost for Research, conducted an analysis of 5 research misconduct policies, 4 from R1 public urban universities and UW-Madison's policy. In addition, the Code of Federal Regulation 42 CFR § 93 applicable to Public Health Service agencies and 45 CFR §689 applicable to the National Science Foundation were reviewed.

A task group was formed in May 2017, to review the analysis of policies, recommend a course of action for UWM, and review drafts of policy(ies) prior to discussion with relevant governance committees.

Task group Members and group/office/committee representation:

- Janis Eells Faculty, Research Policy Advisory Committee
- Dyanna Czeck Faculty, Faculty Rights and Responsibility Committee
- Berri Forman Research Animal Veterinarian, Academic Staff Committee
- Tracey Heatherington Associate Dean, Graduate School (sabbatical Fall 2017)
- Michael Liston Interim Associate Dean, Graduate School (Fall 2017)
- Jason Kuiper Compliance Analyst, Human Resources
- Tom Marcussen Director, Office of Sponsored Programs
- Kathleen Koch Director Research Initiatives, Office of Research
- Rachel Schiffman Office of Research, convener

2017-2018

The Task Group met in May 2017, September 2017, November 2017, April 2018

Donna McGee, Senior University Legal Counsel, reviewed and commented on the draft policy in November 2017 and April 2018.

Rebecca Freer, Interim Dean of Students, reviewed and commented in February, 2018.

The Research Policy Advisory Committee (RPAC) reviewed and discussed the policy at the April 12, 2018 meeting. The policy was approved at the May 10, 2018 RPAC meeting.

2018-2019

The Policy Advisory Committee reviewed the policy at the July 11, 2018 meeting. Two recommendations were made for revisions. The focus of one recommendation was the process for transmittal of the Investigation Panel Final Report for a finding of research misconduct. Suggestion for following process in S-47 was made. The other recommendation centered on changes to the policy as required by external sources to follow S-42.5.

Legal Affairs (J. Urdan and D. McGee) were consulted in July to clarify the process as described in S-47. The policy was revised as recommended.

The chair of the RPAC reviewed the changes and the revised policy was sent to the RPAC as an informational item.

RFS: 7-31-2018