

THE UNIVERSITY OF WISCONSIN-MILWAUKEE  
Research Policy and Advisory Committee

**Minutes**

February 22, 2023 meeting

**Via Microsoft Teams**

**1. Call to order and approval of the agenda**

The chair called the meeting to order at 1:02 p.m.

Members Present:

Paul Brodwin, Madhusudan Dey, David DiValerio, Jennifer Haas, Ann Hanlon, Mark Harris (ex officio), Jennifer Herriges, Jay Kapellusch, Jennifer Kibicho, Joseph Mougel, Sara Pashak, Michael Pauers, Sam Westcott (ex officio)

Members Absent:

Janis Eells

Guests:

Anne Kissack, Kathleen Koch, Cindy Marifke, Jeff Nytes, Kris O'Connor, Michelle Schoenecker (Office of Research); Hanyong Park (ITPC liaison)

**2. Approval of Minutes**

The minutes of the December 16, 2022, meeting were approved as distributed.

**3. Updates from the Office of Research**

Michelle Schoenecker discussed the workshops that will be presented on April 20 and May 12 to prepare Diversity, Equity, and Inclusion plans as part of federal proposal applications.

Kathleen Koch gave an update on the internal research program reviews. She is waiting for a few more to be submitted for the ARC and DIG programs and then the process of selecting proposals for funding will begin.

**4. Policy Development for Research: Effort Reporting, Export Control, Open Research**

Kris O'Connor discussed updating the Open Research Policy and renaming it the Openness in Research Policy. There is concern that the current policy (2008) was only approved by RPAC and it was never forwarded for approval to the Faculty Senate. This is an opportunity to update the policy and make it an official SAAP. In drafting the revision, policies at several universities (e.g., UW Madison, Harvard, University of Michigan, University of Minnesota) were reviewed. The Office of Legal Affairs has vetted the proposed language.

The updated policy proposal formally defines what research is and what it is not. It states that the University will not undertake research with restrictions on openness or academic freedom. It also states that the University will not limit participation research activities based on citizenship.

If restricted research is approved and accepted, an export control review will be required as it may fall under Export Control restrictions (refers to Federal regulations that restrict the release

of certain items (e.g., commodities, software, technology, equipment, or information) and the provision of certain services (e.g., technical assistance, training) to foreign destinations or to foreign nationals in the United States and abroad for reasons of national security, foreign policy, anti-terrorism, or non-proliferation.

Next, Jeff Nytes discussed the Export Control Policy. It is being developed as a fairly simple policy with a guidance/procedures document attached. The specifics of the guidance documents are more easily changed in response to revisions in relevant external policies without requiring re-approval of the policy itself. It states that UWM employees and students, and other persons involved in research on campus are obligated to comply with all applicable export control regulations and to work cooperatively with those responsible for UWM's export control compliance.

Finally, Jeff Nytes discussed the Compensation Compliance Policy (formerly known as effort reporting). It states that all UWM faculty and staff who engage in sponsored projects will comply with university procedures and sponsoring agency regulations regarding the proposing, charging, and certifying of sponsored projects compensation. This policy also has an accompanying guidance document.

One area is Payroll Certification and providing reasonable assurance that salary charges to federally sponsored projects are accurate, allowable, and properly allocated. The second area is Effort Commitments and the expectation that Principal Investigators will devote at least a one percent effort commitment to federally sponsored projects.

Jay Kapellusch moved to approve the Compensation Compliance Policy. Joseph Mougel seconded the motion. All approved. The motion passed unanimously.

Jay Kapellusch moved to approve the Export Control Policy. Michael Pauers seconded the motion. The motion passed unanimously.

Jay Kapellusch moved to approve the Openness in Research Policy. Jennifer Herriges seconded the motion. The motion passed unanimously.

##### **5. General Good and Welfare**

Kathleen Koch advised that the next RPAC meeting is March 22, which is during spring break. Most of the members have accepted this meeting on the calendar but may not have been aware of the timing. Melody Harris is able to attend and give updates on the IRB, IACUC and other areas under safety and assurances. A few members indicated they will not be able to attend, but quorum should be met.

##### **6. Adjournment**

The meeting was adjourned by consensus at 2:17 p.m.