UWM RESEARCH INTEGRITY TRAINING POLICY

No: 14-07

Date:_____

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>

1. **Performing Research or Creative Work at UWM** – Supports the faculty in understanding the resources available and the requirements necessary to perform creative work or research at UWM. It is an overview of resources, compliance requirements, and additional training and education for the faculty and PI-approved academic staff.

2. **Responsible Conduct of Research (RCR) Training** – A standard suite of CITI training modules that satisfy most federal RCR training requirements. Includes training in:
    a. Using Animal Subjects in Research
    b. Research Involving Human Subjects
    c. Plagiarism
    d. Research Ethics and Society
    e. Authorship
    f. Collaborative Research
    g. Conflicts of Interest and Commitment
    h. Data Management
    i. Mentoring
    j. Research Misconduct

3. **Pre-Award Roles and Responsibilities** – 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.

4. **Post-Award Roles and Responsibilities** – 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.

5. **Procurement and Travel Processes** – Supporting information for research-related procurement, purchasing, and travel when using sponsored- or institutional funding.

Training module details

Module	Format	Time Commitment	Compliance Checks
1	Canvas	~1 hour	Office of Sponsored Programs (OSP) Proposal Submission
2	CITI	~4 hours	OSP Proposal Submission Internal Award Submission
3	Canvas	~1 hour	OSP Proposal Submission
4	Canvas	~1 hour	OSP Award Setup
5	Canvas	~1 hour	OSP Award Setup Internal Award Setup

Notes:
1. Each required module needs to be completed only once while employed at UWM.
2. Module 1 is required for new faculty and PI-eligible academic staff.
3. Modules 2-5:
    a. For the 2023-24 academic year, compliance checks only apply to new faculty and PI-eligible academic staff.
    b. Starting in Fall 2024, compliance checks will apply to all faculty and PI-eligible academic staff.

Attachment B – Externally-Required Research Training Modules

Training Title	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 Control	Engaged in Export-Controlled Work	Updates on requirements for export controls as defined by the federal government.	OSP Proposal Submission and Award Setup
Human Subjects Use	Engaged in Human Subjects Research	Outlines and demonstrates how the Institutional Review Board (IRB) reviews and approves the use of human subjects for research.	OSP Award Setup
Animal Subjects Use	Engaged in Animal Research	Outlines and demonstrates how the Institutional Animal Care and Use Committee (IACUC) reviews and approves the use of animal subjects for research.	OSP Award Setup
Institutional Biosafety	Engaged in Research with Biohazards	Outlines and demonstrates how the Institutional Biosafety Committee (IBC) reviews and approves the use of biohazards for research.	OSP Award Setup
CITI Responsible Conduct of Research	All NSF and USDA PIs, Key Personnel, and Students	A standard suite of CITI training modules that satisfy most federal RCR training requirements. Requirements vary by federal agency. Note that the Institutional RCR requirement will generally satisfy this for PIs.	OSP Proposal Submission
In-person Responsible Conduct of Research	NIH Training Grant Trainees	The National Institutes of Health require comprehensive research ethics training and a minimum of eight hours of face-to-face training every four years for trainees, fellows, participants, and scholars supported by some types of D, F, K, R, T, and U awards. PIs are responsible for ensuring compliance, which will be assessed at the time of progress report submission.	Progress Report Submission

Link to helpful site for related trainings: https://uwm.edu/safety-health/wp-content/uploads/sites/405/2018/12/UWM-Training-Matrix-Web.pdf.