

CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA
ACADEMIC SENATE

FACULTY AFFAIRS COMMITTEE

REPORT TO

THE ACADEMIC SENATE

FA-003-256

Update Policy 1207: Misconduct in Research

Faculty Affairs Committee

Date: February 25, 2026

Executive Committee
Received and Forwarded

Date: March 4, 2026

Academic Senate

Date: March 18, 2026

Referral

Update Policy 1207: Misconduct in Research

Background

Policy 1207 on Misconduct in Research was revised in Spring 2024 in response to federal Department of Human and Health Services requirements to be eligible to receive federal funding. Subsequent changes to HHS policy require further minor revisions. Dr. Craig LaMunyon submitted proposed revisions for Policy 1207 in order to ensure CPP's continued compliance with federal policy and eligibility to receive federal funding.

[The current policy is available in the Academic Manual.](#)

Resources

Resources Consulted:

Craig LaMunyon

Discussion

The committee met with Dr. LaMunyon to discuss the proposed changes and ask questions, in case there were aspects of the new guidelines or the proposal that might have consequences we were not aware of.

The proposed changes (1) clarify the meaning of 'sequestering' materials in cases of misconduct; (2) spell out the requirements on the university for publicizing the policy; and (3) explicitly link items in the policy to the updated HHS guidelines. Dr. LaMunyon clarified that the changes do not affect the definition of misconduct in research. Nor will the changes affect any investigatory procedures, the burden of proof, or any of the consequences for misconduct in research. The committee had some concerns about the policy applying retroactively to January 1, 2026. Those concerns were addressed by the fact that the updated policy does not change the definitions or consequences of misconduct in research.

Dr. LaMunyon also explained that under the Misconduct in Research policy, all investigations are conducted internally, by Cal Poly Pomona employees and our Office of Research and Sponsored Programs (ORSP).

Furthermore, passage of the edits is needed promptly to ensure that CPP can continue to apply for and receive funds from HHS. In addition, Dr. LaMunyon shared that other agencies may use current HHS guidelines for their grant programs as well, so that a failure to update the policy could affect grants from sources other than HHS.

Recommendation

The Faculty Affairs Committee recommends making all changes suggested in the referral. The summary of the changes is as follows, where all additions are underlined.

- At the end of section 1 (Introduction), add the sentence
 - "This policy is intended to satisfy the institutional responsibilities required under

the Public Health Service Policies on Research Misconduct, 42 CFR Part 93, as amended.”

- In paragraph 3.1 (General Provisions), amend the first sentence from the original:
 - “Cal Poly Pomona shall make a good faith effort to protect the privacy of all individuals involved in research misconduct proceedings.”to a revised version by adding a final phrase
 - “Cal Poly Pomona shall make a good faith effort to protect the privacy of all individuals involved in research misconduct proceedings, consistent with the requirements of 42 CFR Part 93, as amended.”
- Adding a paragraph at the end of 3.1:
 - “For purposes of this policy sequestration means the immediate securing of all research records and evidence needed to conduct a research misconduct proceeding. Where original records cannot be obtained, copies that are substantially equivalent to the originals may be used.”
- Under 4.1, the responsibilities of Cal Poly Pomona, adding item f:
 - “Making this policy publicly available and taking reasonable steps to inform members of the research community of its contents.”
- Adding a final paragraph:
 - “This policy, as revised, applies to allegations of research misconduct received on or after January 1, 2026, consistent with the applicability provisions of the Public Health Service Policies on Research Misconduct (42 CFR Part 93), as amended.”

Attachments

Two versions of the complete revised policy are attached, one with track changes turned on and one clean version.

