

RESEARCH, SAFETY AND COMPLIANCE OVERSIGHT COMMITTEE REPORT (Faculty Policies and Procedures 6.58.)

I. STATEMENT OF COMMITTEE FUNCTION OR CHARGE

The committee was initiated in 2011. Its stated functions are as follows:

1. Provide advice and consultation to the Office of Research Policy, the Office of Research and Sponsored Programs, and to the institution's safety and compliance units.
2. Receive and process inquiries and complaints from research investigators, including faculty, staff, employees-in-training and students, regarding institutional processes, policies and procedures that adversely impact the conduct of their research.
3. Ensure effective and rapid resolution of problems involving research, safety and compliance.

II. CURRENT AND PAST YEAR ACTIVITIES

During the 2011-2012 academic year the committee held a series of open forums. The purpose of these was to provide an opportunity for faculty and staff to express both positive comments and concerns about issues related to research compliance. These meetings were largely attended by faculty and staff involved in compliance activities (e.g. biosafety, radiation safety, animal care and use, human subjects, etc.). In addition to collecting comments at these open meetings, we also invited faculty and staff to submit comments by campus mail or email.

Issues identified at the forums included:

- A need to streamline the process of completing protocol forms. A mechanism by which forms could be self-populated with some information was desirable. It was suggested that electronic forms might address this issue, although it was recognized this would require resources, and coordination.
- Electronic reminders to faculty and staff when protocol renewals are due.
- A portal that links all compliance functions that is easy to find on the UW website.
- User help; availability of people to answer questions
- Better communication – why are forms being changed and new information requested?
- Difficult to get faculty to serve on compliance committees – time consuming, no payback
- Easy way for PI's to confirm compliance training by personnel
- Orientation sessions for new (and perhaps old) faculty on compliance issues

In 2012 the committee also met separately with Graduate School Dean Martin Cadwallader and Associate Dean for Research Policy Bill Mellon to gain their thoughts on research compliance issues. Items discussed included lines of authority for campus safety programs, the diverse responsibilities of the campus RO/IO, coordination of research compliance needs with campus computing (DoIT), and financial resources of the Graduate School.

The Committee also met with Paul Umbeck Director of Environmental Health and Safety (FPM) and Kim Moreland Associate Vice Chancellor for Research and Sponsored Programs. Issues discussed included: biosafety and select agent concerns, chemical safety, coordination of campus safety activities (not restricted to research), coordination with Environmental Health (biosafety

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cabinet certification), post-award financial reports and closeouts, conflict of interest reporting. There was discussion of creating online ARROW portals for all compliance protocols.

Activities in 2012 through 2014

The campus general safety committee, which consists of the chairs of the major campus safety committees, began meeting again. This group now meets annually and members of the Research, Safety and Compliance Oversight Committee attend these meetings.

III. CURRENT AND FUTURE ISSUES OR CONCERNS

At its first meeting in September 2014, the committee welcomed its new members and set priorities for the coming year. These included:

- Meet with the University Committee
- Seek a meeting with the Vice Chancellor for Research and Graduate Education Marsha Mailick to gain her perspective on compliance issues.
- Meet with campus officials, faculty and staff with responsibilities for Animal Care and Use, Select Agents and other biosafety issues, and Chemical Safety.

IV. SUMMARY AND RECOMMENDATIONS

The chief strength of the committee is to facilitate conversations amongst individuals and groups with responsibilities for research compliance. The activity of the committee was limited in the past several years. In light of changes in the administrative structure for the campus research enterprise, and the complexity of compliance issues facing faculty, staff and campus administration, we hope to play a more active role in the coming year.

V. COMMITTEE MEMBERSHIP

Membership during 2011-2013 consisted of the following:

Vicki Bier (Physical Sciences), Chuck Czuprynski (University Committee appointee and Chair), Simon Gilroy (Biological Sciences), Mario Ortiz-Robles (Arts and Humanities), Tim Rogers (Social Studies), Becky Bound (Academic Staff), and Sharon Vetter (Academic Staff).

For 2014-15 the membership consists of:

Vicki Bier (Physical Sciences), Chuck Czuprynski (University Committee appointee and Chair), Simon Gilroy (Biological Sciences), Janet Gilmore (Arts and Humanities), Diane Gooding (Social Studies), Becky Bound (Academic Staff), and Sharon Vetter (Academic Staff) Chad Daly (Classified Staff) and Larry Westby (Classified Staff).