Compliance for new graduate students

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Compliance
Sources of compliance requirements

• Federal, State and local regulations
  – The same at every University

• 260 Federal statues apply to Universities
  – U.S. Codes, Public laws, Executive orders

• Many additional state statutes

• You have responsibilities as a researcher, teacher, manager, supervisor, employee, and student
Some common compliance areas you have responsibilities for

• University Researcher
  – Laboratory & workplace safety
  – Animal use (IACUC)
  – Biological, Radiation and Laser safety
  – Research Integrity (honesty,
  – Export, import, customs

• University Employee
  – Conflict of Interest
  – State Ethics, Federal RCR (if paid by NIH, USDA, NSF)
  – EPCRA (know Emergency Action Plans)
  – Data security

• TA
  – Privacy & Information Security (FERPA)
  – Copyrights
Some advice on reducing your compliance burden
1. Treat Compliance Like Research

• Understand the principles
• Organize and Plan
• Document & Keep records
2. Treat Protocols Like Articles

• *Not* a grant application
• Don’t skip details or information
• Faculty reviewers don’t value careless mistakes, imprecise writing, sloppy preparation
• *Extra* iterations of a submission waste a *lot* of your time
• Organize, review, proof read
3. Use staff knowledge

- They providing a service and ....
- Keep the Institution compliant
- Ask questions, get help
Good Luck
and
Do Good Work!
Objective of protocols are compliance with specific regulations

- *Not* a grant application
- Know the point of questions
- Answer questions specifically
- Don’t cut & paste from grants
- Don’t skip detail or information
Recognize Committee/Boards are Faculty

- Our peers
- Limited time
- Smart people
- Academic training
- Change over time
- Particular interests
- Okay to ask them for advice
If you disagree:

- Respond like a journal review
- Understand the regulation
- Answer specifically
- Construct reasoned arguments
- Don’t be confrontational