

RESEARCH COMPLIANCE REVIEW AND TRAINING REQUIREMENTS

COMPLIANCE AREA	INITIAL ACTION	EXTERNAL FUNDING REQUIREMENT	REVIEW PROCEDURE	APPROVAL	RENEWAL	TRAINING/FREQUENCY	EXTERNAL REPORTING	Basis of policy
MUST BE COMPLETED PRIOR TO ACCEPTANCE OF AWARD								
Human subjects(non-exempt)	Protocol to Human Subjects Committee	Approval of protocol prior to award	Expedited or full review	Prior to commencing research	Annually, as long as research continues	YES - CITI or NIH	Reporting of incidents	Federal - DHHS
Human subjects (exempt)	Protocol to Human Subjects Committee	Approval of protocol prior to award	Expedited review	Prior to commencing research	none	No	Reporting of incidents	Federal - DHHS
Animal Use and Care	Protocol to Institutional Animal Care and Use Committee (IACUC)	Approval of protocol prior to award	Full IACUC review	Prior to commencing research	Every 3 years	YES - CITI	Reporting of incidents	Federal - NIH, USDA, other
Recombinant DNA and/or Pathogenic microorganisms	Memorandum of Understanding and Agreement (MUA) to Institutional Biosafety Committee (IBC)	Approval prior to award	Expedited or full IBC review	Prior to acquisition	Every 3 years	No	Reporting of incidents	Federal NIH
MUST BE COMPLETED PRIOR TO SUBMISSION OF PROPOSAL								
Financial Conflict of Interest	Disclosure form from each investigator sent to OSPA	Review prior to proposal submission	If determination of conflict, requires management plan, review by FCIO committee	Within 60 days after submission of proposal	Annually, throughout period of award. New conflicts w/in 30 days.	YES - CITI, every 4 years	No reporting, conflicts have to be available for public inspection	Federal - NSF, others
Tuition on Grants	Cost of tuition must be budgeted in grant proposal under certain circumstances		Reviewed by OSPA before proposal submission	Prior to proposal submission	n/a	n/a	No reporting required	University policy
Export Control	Decision Tree for Resolving Export Control Issues completed with Proposal Checklist	Review prior to proposal submission	Intellectual Property Committee review	Prior to proposal submission	No	No	No reporting required	US Department of Commerce
OTHER COMPLIANCES								
Conflict of Interest	When entering into activities governed by the COI policy that may constitute a COI	No specific requirement	Chair/director of unit	When faculty plans to engage in defined activities	Annually, as long as activity continues	No	No reporting required	University policy
Intellectual Property	Submit Invention Disclosure Form at closeout of award to Technology Transfer Office, if applicable	Applicable to all inventions - products, processes and related discoveries	University Intellectual Property Committee reviews the disclosure	Committee recommendation forwarded to Vice Chancellor of Research who makes decision to retain or release rights to the invention	n/a	No	No reporting required	University policy
Responsible Conduct of Research (Students)	Identify students to OSPA	NSF requires student training soon after their appointment	OSPA confirms training	N/A	New students must be trained	YES - CITI	Provost, completed by OSPA	National Science Foundation
Responsible Conduct of Research (Faculty)	Violations to be reported to the University Committee on Research Misconduct, VCR or other administrative official	Applies to all research	Extensive review by committee, Provost, others. Report issued, appeal process provided.	n/a	n/a	n/a	Annual	US Public Health Service, other federal and internal policies
Radiological Safety	Prior approval must be obtained from Radiological Safety Committee for use of radioactive materials or equipment in research	Whenever radiological materials are being used	Apply to the Radiological Safety Committee	Approval issues by the Radiological Control Committee	Continuous, as long as radiological materials are being used	Training provided by Radiation Safety Office, CEHS	Subject to inspection	Illinois Department of Emergency Management, Division of Nuclear Safety
Hazardous Chemicals	Researchers must comply with CEHS guidelines for storage, use and disposal of hazardous chemicals	Whenever hazardous chemicals are being used	Contact CEHS	Follow guidelines promulgated by CEHS	Continuous, as long as hazardous chemical materials are being used	Annual training provided by CEHS	Subject to inspection	Federal, state EPA, OSHA
Human blood, blood-derived body fluids, other potentially infectious material	Identify students, faculty and staff to CEHS	Training required within 60 days of work	Contact CEHS	n/a	n/a	Annually	Reporting of incidents	Federal OSHA
Stem Cell Research Compliance	Proposals for research involving derivation or use of human stem cells must be submitted to the Stem Cell Research Oversight Committee.	Before research can begin - applies to all research	Apply to the Stem Cell Oversight Committee	Approval issued by SCRO	Annually	n/a	Reporting of incidents	NIH and other federal guidelines
	All projects involving research with human stem cells (whether at Carbondale or Springfield) must also be reviewed by the Springfield Committee for Research Involving Human Subjects.	Applies to all research	Approval of committee required before the research can begin	Approval issues by Springfield Committee for Research Involving Human Subjects	Annually	Yes - CITI or NIH		

Contact Information

	Phone	Email	Office	Website
Center for Environmental Health and Safety	453-7180	info@cehs.siu.edu	1325 Radio Dr.	cehs.siu.edu
Financial Conflict of Interest	453-4540	ospa@siu.edu	Woody Hall C206	ospa.siu.edu
Hazardous Chemicals	453-7180	info@cehs.siu.edu	1325 Radio Dr.	cehs.siu.edu
Human Subjects Committee	453-4533	siuhsc@siu.edu	Woody Hall C214	ospa.siu.edu/compliance/human-subjects
Institutional Animal Care and Use Committee	453-4533	iacuc@siu.edu	Woody Hall C214	iacuc.siu.edu
Institutional Biosafety Committee	453-7180			
Intellectual Property Committee	453-4556	jmyers@siu.edu	Woody Hall C218	techtransfer.siu.edu
Office of Sponsored Projects Administration	453-4540	ospa@siu.edu	Woody Hall C206	ospa.siu.edu
Radiological Safety Committee	536-2015	info@cehs.siu.edu		
Responsible Conduct of Research	453-4540	ospa@siu.edu	Woody Hall C206	ospa.siu.edu
Stem Cell Research Oversight Committee	453-4533	escro@siu.edu	Woody Hall C206	
Technology Transfer	453-4556	jmyers@siu.edu	Woody Hall C218	techtransfer.siu.edu

Definitions

CEHS	Center for Environmental Health and Safety
CITI	Collaborative Institutional Training Initiative
COI	Conflict of Interest
Expedited review (Human Subjects)	Protocol does not require full review of HSC
FCOI	Financial Conflict of Interest
Full review (Human Subjects)	Protocol requires full review of HSC
HSC	Human Subjects Committee (Carbondale campus)
IACUC	Institutional Animal Care and Use Committee
IBC	Institutional Biosafety Committee
NIH	National Institutes of Health
NSF	National Science Foundation
OHRP	Office for Human Research Protections (Health and Human Services)
SCRO	Stem Cell Research Oversight Committee

Policies/Information

Animal Care and Use	iacuc.siu.edu/
Conflict of Interest	policies.siu.edu/personnel_policies/Chapter4/confint.html
Export Control	ospa.siu.edu/compliance/export-control.html
Financial Conflict of Interest	policies.siu.edu/policies/FOCionFederalGrants.html
Hazardous Chemicals	www.cehs.siu.edu/lab_haz/index.html
Human blood, blood-derived body fluids, other potentially infectious material	www.cehs.siu.edu/lab_haz/index.html
Human Subjects	ospa.siu.edu/_common/documents/human-subjects-forms/hsc-guide-%205-4-2012.pdf
Intellectual Property	policies.siu.edu/personnel_policies/Chapter4/patents.html
Radiological Safety	www.cehs.siu.edu/radiation_safety/index.html
Recombinant DNA and/or Pathogenic microorganisms	www.cehs.siu.edu/lab_haz/index.html
Responsible Conduct of Research	policies.siu.edu/personnel_policies/Chapter4/rmiscond.html
Stem Cell Research Compliance	ospa.siu.edu/_common/documents/stem-cell-research.pdf
Tuition on Research Grants	policies.siu.edu/policies/tuitionresearchgrants.htm

Note: Information on compliances, policies and contacts is subject to change. Contact OSPA for additional information.