Meeting synopsis:

1. Call to Order and Approval of Agenda
2. Approval of minutes from December 8, 2010 FCR meeting
3. Announcements
4. Requests for Information and Updates
   - Overview of the activities of the Research Compliance and Integrity Committee (RC&I), the cross-campus stakeholder group charged with assessing UW research compliance risks and priorities. – Jeffrey Cheek, Associate Vice Provost for Research Compliance and Operations
5. Adjournment

1. Call to order
Council chair Ron Stenkamp called the meeting to order at 9:00 a.m.

2. Approval of Minutes
The minutes from the December 8, 2010 meeting were approved as written.

3. Announcements
   - Eaton said the Reduced Responsibility GIM (Grants Information Memorandum) has been finalized and will go into effect in March. He will bring the final copy to FCR.
   - Chronister said there will soon be final versions of GIM 13 (indirect costs), GIM 19 (deadlines) and GIM 35 (effort) as well.
   - Haselkorn suggested that the FCR conduct a very short survey of all senators to get a handle on the role of faculty in unit decision making on how indirect costs are dispersed in their unit.
   - Eaton said he is working on a small grant to put on a conference from the Office of Research Integrity and the Department of Health and Human Services that would be for UW faculty and focused around a variety of areas related to ethics, bioethics, conflict of interest, etc. If they get the grant, it will be a two-day conference.

4. Requests for Information and Updates

Overview of the activities of the Research Compliance and Integrity Committee (RC&I), Jeffrey Cheek, Associate Vice Provost for Research Compliance and Operations, gave an overview of the RC&I, which is the cross-campus stakeholder group charged with assessing UW research compliance risks and priorities. [Presentation attached, see Appendix A]

Cheek said that the Research Roadmap Initiative, which contains thirteen different elements or projects underway, would benefit from having faculty members from the FCR involved. He also said that faculty representation could be increased on the RC&I.
Following Cheek’s presentation, council members asked a number of follow-up questions and made comments. Points clarified included:

- The UW is generally responsible for any research project where money is “floated down” from another institution. If an organization doesn’t have a certain committee, such as Scientific Integrity, UW would have to perform those functions as if it were receiving funds from the sponsor directly.
- The compliance program structure graphic chart [attached] is designed to distinguish who is doing the compliance role [noted in response to a comment that academic units and faculty governance are fundamentally different than the rest of the groups under “Other”].
- When a system is put together to facilitate compliance, researchers should be involved in the creation of that system, so that they feel ownership and involvement and the system is ultimately more successful.
- The FCR could have one person serve as a representative on both the RC&I and Roadmap committee, or delegate two.
- Much of what must be complied with are the policies of granting institutions. There is not a lot of overlap with the Faculty Code, but there is some with the Handbook.
- If a UW researcher is a subcontractor, generally the rules of the institution funding the research would govern the process if there were a problem. If it were a small committee that didn’t have any rules in place, it would be UW’s rules. The only exception would be if the individual was a collaborator on the research.

6. Adjournment
The meeting was adjourned at 10:02 a.m.

Minutes by Craig Bosman, Faculty Council Support Analyst. <cbosman@uw.edu>

Present:
Faculty: Stenkamp (chair), Fluharty, Haselkorn, Roseler, Spieker, Wright
Ex Officio: Nolan
President’s Designee: Eaton
Guests: Susan Camber, James Poland, Lynne Chronister, Carol Rhodes, Jeffrey Cheek

Absent:
Faculty: Curran, Jain, Vogt
Ex Officio: Smith, Spelman
Appendix A

Presentation to FCR on UW Research Compliance and Integrity (RC&I) Committee
January 12, 2011

Background

Research administration at the University of Washington is decentralized and highly matrixed, with multiple offices and committees that oversee, manage, support and address research compliance and integrity-related topics. These oversight units are located in central administration, the Health Sciences Administration, and within individual schools. With increasing scarcity of resources it is more important than ever to leverage resources effectively across the University to assist researchers and staff with navigating the myriad of ethical considerations and regulatory requirements in the conduct of research. RC&I thus advocates for greater leveraging of existing University resources through the establishment of a comprehensive research compliance and integrity program to facilitate cross-business unit operational and compliance integration.

Overall Purpose

To promote and encourage a cohesive and comprehensive research compliance and integrity program at the University of Washington.

RC&I works closely with two other cross-institutional groups to assure optimal integration and use of institutional resources with respect to research compliance: (1) UW Information Technology Service’s Research Roadmap Initiative focuses on development and integration of technology systems and the UW’s information management environment, specifically on the strategic alignment of IT projects related to research administration and compliance: it identifies, selects, re-evaluates and prioritizes IT initiatives, facilitates collaboration across the research community for related projects, and identifies and addresses potential roadblocks which may impact their delivery. (2) The Compliance, Operations and Finance (COFi) Council is a large group that represents the University’s strategy for creating a more comprehensive institutional risk perspective without sacrificing existing organizational structures; it also serves as the formal mechanism for convening campus representatives from each significant institutional risk area in the areas of compliance, operations, and finance.

Initial Priorities

1. Assess the UW’s current compliance structure, and develop a comprehensive research compliance and integrity program that addresses the following elements:
   - Defined institutional roles, responsibility and oversight
   - Clearly written and published policies and procedures
   - Education and training modules
   - Effective lines of communication
   - Internal monitoring and auditing
   - Enforcement of standards
   - Prompt response and corrective action as needed
   - Continuous risk assessment

2. Development of one central web site that links across decentralized offices and provides a consistent, searchable format on policies, procedures and other information pertinent to conducting research at UW.

First release to focus on “required trainings;” second to focus on “approvals”
   - Filter training by topic or other keyword (office, audience)
   - Related policies, points of contact, etc.
   - Information provided on how to register, time needed for completion, etc.
   - First round of faceted navigation
   - Marketing and hyper-linking strategy to ensure high visibility
Executive Sponsors of RC&I

Dave Eaton, Interim Vice Provost for Research
Sue Camber, Associate Vice President, Financial Management
Stephanie Steppe, Interim Executive Director, Health Sciences Administration

Current RC&I members & offices represented

Attorney General’s Office
Noella Rawlings, Senior Assistant Attorney General (advisor)

Center for Commercialization
Fiona Wills, Director of Licensing

Health Sciences Administration (HSA)
Jude Van Buren, Director, EH&S

Institute of Translational Health Sciences (ITHS) / Faculty representation
Lupe Salazar, Assistant Professor of Medicine and Director, Clinical Research Center

Office of Research
Jeff Cheek, Associate Vice Provost for Research Compliance and Operations (Chair)
Lynne Chronister, Assistant Vice Provost and Director, Office of Sponsored Programs
Karen Moe, Assistant Vice Provost and Director, Human Subjects Division
Kim Blakemore, Compliance Analyst (staff to RC&I Committee)

Office of Scholarly Integrity
Anne Ackenhusen, Director

Research Accounting and Analysis (RAA)
Ted Mordhorst, Assistant Director for Compliance

School of Medicine / Faculty representation
Sheila Lukehart, Professor of Medicine and Asst. Dean, Research and Graduate Education

UW Medicine Compliance
Claudette Cooper, Research Compliance Manager
Lisa Westlund, Compliance Officer, Hospital and Clinics Compliance