

University of Washington
Research Compliance

Laws and Regulations

UW Policies, Boards and Committees, and Service Providers

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This document was prepared by University of Washington Compliance Services with review by appropriate subject matter experts across the institution.

Introduction

This document surveys the current state of research compliance at the University of Washington. It is one of five parts, with companion reports on health and safety, information, financial, and civil rights and employment compliance. Together, the documents are intended as a resource to support decision making and process improvement across the institution. They catalog the external regulatory framework for higher education compliance, as well as the UW's management and administration of its compliance obligations. The reports focus primarily on Seattle campus operations – including UW Medicine – but include references to UW Bothell and UW Tacoma when and where possible.

Research compliance encompasses a broad array of topics – many of which overlap with health and safety and financial compliance – including hazardous materials and radiation safety, export control, human and animal subjects, conflict of interest, facilities, and scholarly integrity, among others.

Research plays a key role in the University's mission, and subject matter experts serve as the front line of the institution's commitment to a safe, robust, and highly-functioning research enterprise.

Regulatory environment

Laws and regulations

The following is a sample of the many federal, state and local laws and regulations which apply to the University of Washington's research enterprise:

Federal

American Recovery and Reinvestment Act of 2009 (ARRA) | Pub. L. No. 111-5

Animal Welfare Act | 7 U.S.C. § 54

Atomic Energy Act of 1954 | 42 U.S.C. §§ 2011-2021, 2022-2286i, 2296a-2297h-13

Buy American Act | 41 U.S.C. §§ 8301-8305

Certification of Accuracy of Indirect Costs | 41 U.S.C. § 256; 10 U.S.C. § 2324(h)

Chemical Facility Anti-terrorism Standards | 6 C.F.R. Part 27

Civil Rights Act of 1964 | 42 U.S.C. § 1981 *et seq.*

Clean Air Act | 42 U.S.C. § 7401 *et seq.*

Clean Water Act | 33 U.S.C. § 1251 *et seq.*

Dual Use Research of Concern | 48 C.F.R. Parts 1535 and 1552

Export Administration Regulations | 15 C.F.R. Parts 730-774

False Claims Act | 31 U.S.C. §§ 3729-3733

Federal Information Security Management Act (FISMA) | 44 U.S.C. § 3541 *et seq.*

Hazardous Materials Transportation Act of 1975 | 49 U.S.C. § 5101 *et seq.*

Health Insurance Portability and Accountability Act (HIPAA) | 42 U.S.C. § 300gg; 29 U.S.C. § 1181 *et seq.*; 42 U.S.C. § 1320d *et seq.*

Health Research Extension Act of 1985 | Pub. L. No. 99-158

Immigration Reform and Control Act | 8 U.S.C. § 1234a

International Traffic in Arms Regulations | 22 C.F.R. 120-130

Low-level Radioactive Waste Policy Amendments Act of 1985 | 42 U.S.C. §§ 2021b-2021j

Marine Mammal Protection Act | 16 U.S.C. Chapter 31

Office of Management and Budget Circulars: Cost Principles | (A-21) 2 C.F.R. Parts 215 and 220; (A-87) 2 C.F.R. Part 225; (A-122) 2 C.F.R. Part 230

Office of Management and Budget Circulars: Administrative Requirements | (A-89, A-102) 29 C.F.R. Part 9; (A-110) 29 C.F.R. Part 95

Privacy Act of 1974 | 5 U.S.C. § 552a

Protection of Human Subjects (Informed Consent) | 21 C.F.R. Part 50

Public Health Service Laws on Conflict of Interest/Objectivity in Research | 42 C.F.R. Part 50, Subpart F; 45 C.F.R. Part 94

Public Health Service Laws on Quarantine, Inspection and Licensing of Biological Products | 42 U.S.C. § 262; 42 U.S.C. § 264; 4 C.F.R. Part 72

Public Health Service Policies on Research Misconduct | 42 C.F.R. Part 93

Select Agent Regulations | 42 C.F.R. Parts 72 and 73; 42 C.F.R. Part 1003

Title IX of the Education Amendments of 1972 | 20 U.S.C. § 1681

Toxic Substances Control Act | 15 U.S.C. § 2601 *et seq.*

State

Title 19 RCW: Business Regulations – Miscellaneous

Chapter 19.27: State building code.

Title 49 RCW: Labor Regulations

Chapter 49.17: Washington industrial safety and health act.

Chapter 49.19: Safety – Health care settings.

Title 70 RCW: Public Health and Safety

Chapter 70.79: Boilers and unfired pressure vessels.

Chapter 70.98: Nuclear energy and radiation.

Chapter 70.99: Radioactive waste storage and transportation act of 1980.

Title 173 WAC: Department of Ecology

Chapter 173-303: Dangerous waste regulations.

Chapter 173-308: Biosolids management.

Chapter 173-460: Controls for new sources of toxic air pollutants.

Title 296 WAC: Department of Labor & Industries

Chapter 296-62-500: Hazardous drugs.

Chapter 296-104: Board of boiler rules – substantive.

Chapter 296-800: Safety and health core rules.

Chapter 296-807: Portable power tools.

Chapter 296-809: Confined spaces.

Chapter 296-823: Occupational exposure to bloodborne pathogens.

Chapter 296-828: Hazardous chemicals in laboratories.

Chapter 296-842: Respirators.

County and Local

Building codes

Fire codes

Solid waste regulations

Wastewater and pollution regulations

Note: This document does not address or engage the manner in which U.S. laws and regulations related to research may apply when conducted in foreign settings, or the application of local laws and regulations to research conducted with federal funds outside of the U.S.

Government agencies

Selected federal, state and local governmental agencies responsible for promulgation and/or enforcement of the laws and regulations cited above include:

Federal

Centers for Disease Control (CDC)

Department of Agriculture (USDA)

Department of Defense (DOD)

Department of Energy (DOE)

Department of Education (ED)

Department of Health and Human Services (HHS)

Department of Justice (DOJ)

Department of Transportation (DOT)

Department of Veterans Affairs (VA)

Drug Enforcement Agency (DEA)

Environmental Protection Agency (EPA)

Food and Drug Administration (FDA)

Centers for Medicare and Medicaid Services (CMS)

National Aeronautics and Space Administration (NASA)

National Institutes of Health (NIH)

National Science Foundation (NSF)

Nuclear Regulatory Commission (NRC)

Occupational Safety and Health Administration (OSHA)

United States Coast Guard

State

Department of Health

Department of Ecology

Department of Labor and Industries (L&I)

Department of Agriculture

Department of Social and Health Services (DSHS)

County and Local

Department of Natural Resources and Parks, King County

Puget Sound Clean Air Agency

Seattle Department of Construction and Inspections

Seattle Public Utilities, Solid Waste Division

Seattle Water Department

Accreditation

Accreditation – essentially a close “cousin” of higher education compliance – is an evaluative process which ensures that institutions, and their academic programs and discrete organizational functions, are aligned with standards and practices established by the nation’s top colleges and universities. That process is managed by private, not-for-profit entities, known as accreditors, created to conduct external quality assessments. These assessments take the form of peer review. Such review, coupled with regular reporting by institutions (usually at specified intervals) provides accreditors with relevant information and data, and elicits evidence of accreditation’s primary mandate: continuous improvement.

Regional or national accreditation encompasses an entire institution and all aspects of its operations. Specialized (sometimes known as programmatic) accreditation relates to academic programs or disciplines such as chemistry, engineering, medicine, and public health. It also relates to university

departments or units and their specific functions and practices, such as scientific diving, animal care and use, and research with biohazardous agents.

Specialized accreditation, with regard to *academic programs*, ensures that institutional governance and resources, curricula, teaching and learning assessment practices, and achievement of program outcomes meet accreditors' expectations for quality. It is relevant to many UW academic programs in the scientific and research fields (e.g., those in the School of Public Health, School of Dentistry, or College of Engineering). Specialized accreditation is optional for some academic programs, and mandatory for others.

Accreditation of *specific functions* is usually related to activities which present health and safety concerns, such as laboratory pathology or rehabilitation medicine. Specialized accreditation in this realm relies on subject matter experts working across functions and disciplines and is predicated on adherence to standards set by leaders in business, industry, healthcare and/or higher education. In the realm of scientific research, recognition by a specialized accreditor implicitly acknowledges the adoption of established best practices for professionals and organizations working with radiation, laboratory animals, or biohazardous materials, for example. Specialized accreditation is optional for most university functions or activities, but a lack thereof can produce concerns among funding agencies and the general public.

Failure to maintain compliance with accreditation principles or guidelines can result in warnings, probation, or revocation of accreditation in extreme cases. Such failure carries with it similar concerns as those in the compliance realm, e.g. closure of academic programs, damage to an institution's reputation, loss of student enrollment, loss of public trust, etc. Thus, adherence to accreditation standards is essential for the continued operations of a large research university.

Academic programs (selected accreditors):

- Engineering fields: Accreditation Board for Engineering and Technology (ABET)
- Dentistry fields: Commission on Dental Accreditation of the American Dental Association (ADA)
- Pharmacy fields: American Society of Health Systems Pharmacists (ASHSP)

Functions (selected accreditors):

- Scientific diving: American Academy of Underwater Sciences (AAUS)
- Animal care and use: AALAC International
- Pathology: College of American Pathologists (CAP)
- Medical Centers: The Joint Commission on Accreditation of Healthcare Organizations, known as the Joint Commission (JCAHO)

UW boards and committees

Numerous boards and committees (listed alphabetically here) ensure that the University's research enterprise – and its diverse practitioners and activities – operate efficiently and in compliance with a complex matrix of federal, state and local laws and regulations, and UW policies.

Diving Control Board

The Diving Control Board is an institutional committee assigned to oversee diving safety for the University. It has the authority to approve and monitor diving projects, review and revise the diving safety manual, assure compliance with the manual, assure medical compliance, certify the depths to which a diver has been trained, take disciplinary action for unsafe practices, and assure adherence to the buddy system for scuba diving (a diver is accompanied by and is in continuous contact with another diver in the water).

Membership: The majority of members are active scientific divers. A board-certified physician is also a member of the committee and provides consultation and advice on diver medical issues as they arise.

Law/regulation: Functions are carried out pursuant to relevant WISHA provisions and the American Academy of Underwater Sciences (AAUS) Scientific Diving Standards.

UW policy: APS 10.1 (Environmental Health and Safety Services)

Embryonic Stem Cell Research Oversight Committee (ESCRO)

ESCRO's responsibilities include providing ethical and scientific review of human embryonic stem cell (hESC) research, ensuring compliance to applicable regulations and policy, overseeing a registry of hESC lines at the UW, and educating researchers about relevant compliance issues.

Membership: ESCRO Committee members are appointed by and serve as advisors to the Office of the Vice Provost for Research. ESCRO Committee membership reflects the scientific, medical, and ethical expertise necessary to review hESC research applications.

Law/regulation: None

UW policy: None

Faculty Council (Research)

University faculty councils study and make recommendations on issues bearing on the welfare of the university. The Faculty Council on Research is responsible for all matters of policy relating to research.

Membership: Unknown

Law/regulation: None

UW policy: Faculty Code, Chapter 42 (Faculty Councils and Their Duties); EO 8 (Classified, Proprietary, and Restricted Research)

Human Subjects Advisory Board

The Human Subjects Advisory Board, formerly known as the Human Subjects Policy Board, is responsible for advising on policies related to the protection of human subjects in research conducted at the UW.

Membership: Rotating; represents the departments that depend on the effectiveness of human research protection policies and the community from which research subjects are selected

Law/regulation: The Common Rule and multiple additional federal laws

UW policy: EO 24 (Research with Human Participants); GIM 20 (Activities Involving Human Subjects, Including Clinical Research)

Infectious Waste Committee

The Infectious Waste Committee (IWC) establishes and reviews biohazardous waste handling practices for the University of Washington community in compliance with local, state, and federal biohazardous waste regulations. The IWC creates and annually reviews a plan. Proposed updates are shared with the Institutional Biosafety Committee (IBC) for review and approval.

Membership: Stakeholder representatives with responsibilities for safety and management of biohazardous waste and compliance with relevant University, local, state and federal laws.

Law/regulation: Multiple federal, state and local laws and regulations; committee not required by law or regulation

UW policy: APS 12.3 (Review of Research Projects Involving Biological Hazards and Recombinant DNA)

Institutional Animal Care and Use Committee (IACUC)

The UW's Office of Animal Welfare (OAW) provides support to the UW Institutional Animal Care and Use Committee (IACUC), as well as to researchers utilizing live vertebrate animals for teaching and research.

The IACUC reviews all animal use protocols, ensures compliance with federal regulations, inspects animal facilities and laboratories and oversees training and educational programs. The OAW serves as a resource to faculty, investigators, technicians, students, staff, and administrators.

Membership: Unknown

Law/regulation: Animal Welfare Act; Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals; AALAC International accreditation standards

UW policy: EO 53 (Use of Experimental Animals); APS 12.4 (Animal Use)

Institutional Biosafety Committee (Dual Use Research of Concern; Select Agent Program)

The Institutional Biosafety Committee (IBC) reviews, approves, and oversees research that involves the use of recombinant or synthetic DNA/RNA and other biohazardous agents. Biological Use Authorization from the IBC and EH&S is required for work involving biohazards, including DNA/RNA.

Membership: Per NIH guidelines, the committee must be comprised of no fewer than five members so selected that they collectively have experience and expertise in recombinant or synthetic nucleic acid molecule technology. At least two members shall not be affiliated with the institution and represent the interest of the surrounding community with respect to health and the protection of the environment. The committee shall include: at least one scientist with expertise in animal containment principles when experiments utilize animals; a biosafety officer when relevant experiments are performed; and an appropriate expert when research involves plants. When the institution participates in or sponsors research involving human subjects, it must ensure that there is adequate expertise and training, using *ad hoc* consultants if necessary.

Law/regulation: The IBC carries out its functions pursuant to requirements set forth by the National Institutes of Health, Centers for Disease Control and Prevention, and various state and local regulations.

UW policy: APS 12.3 (Review of Research Projects Involving Biological Hazards and Recombinant DNA)

Institutional Review Board (IRB)

An Institutional Review Board (IRB) is the group or committee that is given the responsibility by an institution to review that institution's research projects involving human participants. The primary purpose of the IRB review is to assure that the safety, rights, and welfare of the human participants are protected, and that the institution complies with applicable federal and state regulations.

Membership: Varies with subject matter expertise needed for reviews

Law/regulation: The Common Rule and multiple additional federal laws; IRB review required when a study or project meets the federal definition of "human subjects research"

UW policy: EO 24 (Research with Human Participants)

Radiation Safety Committee (RSC)

A Radiation Safety Committee (RSC) must be appointed by the University Board of Regents, the President, or Executive Director for Health Sciences Administration to set policies and oversee the implementation of those policies to ensure the safe storage, use, and security of radioactive materials.

Membership: In accordance with WAC 246-235-090(2)(c)(i), the RSC shall be composed of the Radiation Safety Officer, a representative of management, and persons trained and experienced in the safe use of radioactive material. The license further requires the RSC to consist of at least the Executive Director of Health Sciences Administration or designee, the Radiation Safety Officer, medical representation from UWMC and HMC, and faculty-authorized investigators representing major programs or modalities where radioactive materials are stored or used.

Law/regulation: The University holds a "Type A" specific license of broad scope issued by the Washington State Department of Health Office of Radiation Protection. The license and relevant WAC provision requires the establishment of a radiation safety committee. The license provides the RSC authority to set policies and oversee the implementation of those policies to ensure safe storage, use, and security of radioactive materials. WAC 246-235-090(2)(c)(iii)(C) requires the RSC to review and approve proposed uses of radioactive materials prior to use.

UW policy: None

Radioactive Drug Research Committee (RDRC)

The Radioactive Drug Research Committee (RDRC) program began when the Food and Drug Administration published a Federal Register notice in 1975 classifying all radioactive drugs as either new drugs requiring an Investigational New Drug Application (IND) for investigational use (21 CFR 312) or generally recognized as safe and effective when administered under the conditions specified in the RDRC regulations (21 CFR 361.1).

Membership: In accordance with 21 CFR 361.1(c)(1), a Radioactive Drug Research Committee shall consist of at least five individuals. Each committee shall include the following three individuals: (i) a physician recognized as a specialist in nuclear medicine, (ii) a person qualified by training and experience to formulate radioactive drugs, and (iii) a person with special competence in radiation safety and radiation dosimetry. The remainder of the committee shall consist of individuals qualified in various disciplines pertinent to the field of nuclear medicine (e.g., radiology, internal medicine, clinical pathology, hematology, endocrinology, radiation therapy, radiation physics, radiation biophysics, health physics, and radiopharmacy). Membership shall be sufficiently diverse to permit expert review of the technical and scientific aspects of proposals submitted to the committee. The addition of consultants in other pertinent medical disciplines is encouraged.

Law/regulation: In accordance with 21 CFR 361.1(c)(4), all RDRCs must be specifically approved by the FDA's Center for Drug Evaluation and Research, and must operate in accordance with the requirements specified in 21 CFR 361.1.

UW policy: None

Research Advisory Board (RAB)

The Research Advisory Board provides the Vice Provost for Research with counsel on a wide variety of matters relating to the UW's research enterprise. The RAB meets on a monthly basis.

Membership: Membership includes scientists and researchers from across the disciplinary spectrum. It is chaired by the Vice Provost for Research.

Law/regulation: None

UW policy: None

Research Compliance and Integrity Committee (RC&I)

The RC&I Committee serves as an advisory group for the design and implementation of an integrated and coordinated research compliance and integrity program for the UW.

Membership: Staff and faculty from the University's research and research-related administrative units, including UW Medicine.

Law/regulation: None

UW policy: None

Designated research officials and their roles

Export control

Mark Stomski, Assistant Vice Provost for Export Control | Empowered Official for Export Controls

Finance

Kirsten DeFries, Director, Grant and Contract Accounting | Fiscal Officer for Sponsored Projects

Human subjects

Joe Giffels, Associate Vice Provost for Research Administration and Integrity, Office of Research | Institutional Official for Human Subjects

Radiation safety

Philip Campbell, Assistant Director & Radiation Safety Officer, Environmental Health & Safety; licensed official for radiation and radioactive materials (Washington State Department of Health)

Research misconduct

Cheryl Cameron, Vice Provost for Academic Personnel | Research Integrity Officer

Research with vertebrate animals

David Anderson, Executive Director, Health Sciences Administration | Institutional Official for Animal Research

Select agents

Jude Van Buren, Senior Director, Environmental Health & Safety | Responsible Official for the Select Agent Program

UW service providers

Although many university departments and units integrate research protocols, policies and officers into their operations, these offices provide centralized services campus wide.

CoMotion

CoMotion is a “collaborative innovation hub” that delivers the tools and connections that UW researchers and students need. Its work focuses on innovation readiness, technology entrepreneurship, technology transfer, and innovation learning. It provides support to students, entrepreneurs, researchers and investors.

Environmental Health & Safety (EH&S)

To support the University of Washington’s teaching, research, and service missions, EH&S assists organizational units in meeting their responsibility to protect the environment and to provide a safe and healthy place of employment and learning. Areas of responsibility include:

- Occupational hygiene and safety (respiratory protection, training, monitoring)
- Employee health clinical support (occupational immunizations, exposure follow-up, respirator medical clearance, medical screening and monitoring)
- Research safety (occupational health and safety, animal use medical screening, research protocol hazardous materials review)
- Diving safety
- Biological research safety, biological use authorization, inspections
- Chemical safety (hazardous materials use, transport, storage); chemical inventory monitoring and review
- Radiation safety: clinical and research; radiation machine and x-ray safety; personnel monitoring; human subjects approval; non-ionizing radiation and laser safety; radioactive materials authorization, procurement, shipping and receiving; radiation waste handling and shipping
- Facilitation of institutional safety committees (institutional biosafety, radiation safety, infectious waste, dual use research of concern)
- Laboratory/shop safety
- Accident reporting, investigation and prevention (Health and Safety Committees, training, ergonomics, Accident Prevention Plans)
- Fire and life safety (building emergency preparedness, egress, fire code compliance)
- Building safety (construction and remodel design review; capital safety improvements; regulated building materials including lead, asbestos, PCBs)
- Ventilation safety (Biosafety Cabinet Certification (BSC), fume hood testing, indoor air quality)
- Environmental protection (air, water and soil quality; pollution prevention)
- Site assessment for environmental contamination

- Hazardous materials review, collection, shipping and recycling
- Spill response and 24/7/365 coverage
- Public health (food, potable and recreational water safety; pest control and sanitation)
- Health and safety training courses (in-person, online)
- Outreach and health education
- Health Sciences student immunizations for clinical practice

Facilities

Facilities Services includes eight departments that operate, maintain and support the University's physical plant, grounds, transportation, emergency operations, building maintenance, and waste management programs.

Research and Student Accounting

Grant and Contract Accounting (GCA). Grant and Contract Accounting facilitates the post-award financial administration of sponsored programs, from budget set-up to closeout. GCA provides compliance guidance and a follow-up process for the five areas of post award management for the lifecycle of an award: Setting up Grant and Contract Budgets, Invoicing Sponsors, Preparing Fiscal Reports for Sponsors, Applying Cash (Payments from Sponsors), and Closing Budgets.

Management Accounting and Analysis (MAA). Management Accounting and Analysis services include oversight and guidance for Faculty Effort Certification (FEC), Grant & Contract Certification Report (GCCR), Recharge and Cost Centers, Facilities & Administrative (F&A) Rate and Proposal Information, and Unmet Cost Share.

Post Award Fiscal Compliance (PAFC). Post Award Fiscal Compliance is part of Research & Student Accounting. Its responsibilities include assisting both campus and central administrative units with information, training, and advice to mitigate risk of non-compliance with sponsor terms and conditions. In addition, PAFC identifies expenditure transactions on sponsored projects using data analytics to identify transactions with the highest risk of disallowance, and works with campus units to improve internal controls and reduce risk.

Office of Animal Welfare

The Office of Animal Welfare facilitates Institutional Animal Care and Use Committee (IACUC) review of research protocols and grants involving live vertebrate animals, and provides oversight and compliance on behalf of the IACUC in accordance with applicable laws, policies and regulations.

Office of Research

The Office of Research is the University's administrative and oversight structure established to facilitate and assure excellence in research with research participants as well as full compliance with applicable principles, regulations, laws, and policies. Offices and divisions include:

Human Subjects Division (HSD). Most policies and procedures relating to research with human participants are developed, implemented, and enforced by delegated authority to the Human Subjects Division. The UW Institutional Review Boards (IRBs) are located in, and managed by, HSD.

Office of Research Information Services (ORIS). ORIS provides technology management, including portfolio and program management, software design and development, system architecture, data-driven decision making and business analysis.

Office of Sponsored Programs (OSP). The Office of Sponsored Programs plays a critical role prior to and during the receipt of an award and provides administrative oversight related to proposals and the establishment of awards.

Office of Research Misconduct Proceedings

The Office of Research Misconduct Proceedings, a unit of the Office of Academic Personnel, coordinates the University's handling of allegations of research misconduct against members of the University community, in consultation and cooperation with the University's schools, colleges, and campuses. Research misconduct is defined to be fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

Risk Services

Risk Services organizes, coordinates and implements programs to control risks for all University of Washington campuses. Services include risk financing and insurance, equipment insurance, risk consulting, claims services and workers compensation. Risk Services works closely with the UW Division of the Attorney General's Office, the Office of Sponsored Programs, and CoMotion to mitigate risks from sponsored contracts, partnerships, and intellectual property licensing. Risk Services also manages numerous operational and fiscal functions regarding high-risk research activities with regard to facilities, equipment, locations, and worker injuries.

UW Medicine

Clinical Research Budget & Billing (CRBB). The CRBB support office provides budget review and preparation, budget negotiation with industry sponsors, and billing support to clinical researcher investigators and staff. It also offers centralized pre- and post-award support for investigators and research staff.

Investigational Drug Services (IDS). The Investigational Drug Service (IDS) at UW Medical Center, Harborview Medical Center and Seattle Cancer Care Alliance manages medications used in clinical trials conducted at these facilities. The IDS provides accountability, handling, storage, and control of investigational drugs and assures compliance with the standards of the FDA and of the study sponsor.

UW policies

Listed below are relevant Administrative Policy Statements, Faculty Code and Governance provisions, and Presidential Orders, that support and guide research compliance at the University of Washington. A sample of additional policy sources is also included in this section.

Administrative Policy Statements (APS)

APS 10.1	Environmental Health and Safety Services
APS 10.4	Personal Protective Equipment and Clothing
APS 10.7	Policy on Access to Vessels Used for Scientific Research and Instruction
APS 10.9	Visitors and Children in University Laboratories and Shops
APS 11.2	Management and Disposal of Hazardous Wastes
APS 11.3	Pollution Control
APS 11.4	Spills and Releases
APS 12.3	Review of Research Projects Involving Biological Hazards and Recombinant DNA
APS 12.4	Animal Use
APS 12.5	Chemical Hazard Communication Program
APS 12.6	Lockout/Tagout: A Method of Hazardous Energy Control
APS 13.1	Emergency Management
APS 13.2	Ensuring Business, Academic, and Research Continuity (BARC)
APS 13.3	Building Security Regulations
APS 14.1	University Risk Management and Insurance Programs
APS 16.1	Fire Safety
APS 32.4	Payments to Foreign Nationals

Faculty Code and Governance

Chapter 42	The Faculty Councils (42-37: Faculty Council on Research)
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Presidential Orders

Executive Orders (EO)

EO 8	Classified, Proprietary, and Restricted Research
EO 15	University of Washington Sponsorship Policy

EO 24	Research with Human Participants
EO 34	Grant and Contract Support of University Activities
EO 36	Patent, Invention, and Copyright Policy
EO 53	Use of Experimental Animals
EO 61	Research Misconduct Policy

Other policy sources

The official policies listed above have University-wide application and are therefore centrally reviewed, approved and maintained, with support from the Rules Coordination Office.

A number of departments and administrative units have established local policies, some with corresponding procedures and relevant committees, to help fulfill key research compliance obligations. Numerous training and/or informational manuals, guides, and plans – that may function as *de facto* policy – are also maintained on the three UW campuses and at UW Medicine. A sample of these sources is below.

Grants Information Memoranda (GIM)

GIM 1	Review and Submission Requirements for Proposals
GIM 2	Fiscal Responsibilities on Grant and Contract Accounts
GIM 3	Employee Benefit Costs under Sponsored Program Accounts
GIM 7	Sponsored Program Subaward Administration
GIM 8	Subrecipient Monitoring
GIM 9	Advance Budget Numbers (Advance Notices)
GIM 10	Financial Conflict of Interest Policy
GIM 13	Facilities & Administrative (F&A) Cost Rates
GIM 15	Transfer of Expenditures Between Budgets
GIM 19	Internal Deadlines for Proposals to Outside Agencies
GIM 20	Activities Involving Human Subjects, Including Clinical Research
GIM 21	Cost Sharing Policy on Sponsored Agreements
GIM 23	Costing Policy for Sponsored Agreements
GIM 27	Use of Experimental Animals: Regulations
GIM 34	Classification of Outside Support
GIM 35	Effort Reporting Policy for Sponsored Agreements

- [GIM 36](#) Human Embryonic Stem Cell Research Policy and Guidelines
- [GIM 37](#) Research Data
- [GIM 38](#) Faculty Reduced Responsibility Status Involving External Funding
- [GIM 39](#) Closeout of Sponsored Programs

[Guide to Ethics Policies](#)

[Human Subjects Division \(HSD\): Policies, Procedures & Guidance](#)

[Lab Safety Manual](#)

[Radiation Safety Manual](#)

[UW Biosafety Manual](#)