

RAOR Forum  
June 18, 2014  
Guest Speaker:

Dr. Robert Nobles, Assistance Vice Chancellor for Research,  
Research Compliance and Research Integrity Officer

### **TOPIC: Do your Part, Be Compliance Smart!**

#### **Research and Laboratory Compliance**

- Effective July 1, 2014, there will be a new form required for all Advanced Account Requests or prior to Sponsored Program Award set up.
- This form is a fillable PDF file and will be used as a basic screening tool to help PIs self-identify if their work touches any of the sensitive compliance areas, such as IRB.
- Advanced Accounts and Start-up Packages – PIs usually want to begin work right away, but we will require compliance registration and approval processes.

#### **Engaging New Faculty**

Dr. Nobles will receive a list of all the new faculty coming in the fall – try to engage them with all the services available to them and explain compliance issues with IRB, working with animals, etc.

#### **New System: IMedRIS**

We are working on implementing a new Research Compliance Solution.

There is a need for research compliance software that would aid and facilitate what we do in a much more efficient fashion -- Converting all paper-based activities to web-based, for electronic submission on compliance materials.

The system will function a lot like “TurboTax”:

- Dynamic, fillable form populated depending on how you answer questions
- No physical signature required on the document
- Electronically sign and route submissions for signature in real time
- Track where your submission is once initial application is in the system, including amendments, annual reviews, etc.
- System will pull directly from the University Directory: login with net id and password
- Essentially a filing cabinet for all compliance paperwork and PI study information

#### **Scheduled Trainings:**

- In the first two weeks of July, after all our information is in the system, training will start with compliance officers and IRB staff first.
- Last 2 weeks of July up until the new semester, there will be 2 open sessions a week, morning and afternoon
- Facilitating any new questions about the new technology
- At least weekly general orientation sessions
- There will be a webpage with information you can download
- We would like to have more progressive methods, such as posting “how to” videos on the web
- IRIS support line – on multiple platforms: phone, emails, appointments

## **QUESTIONS/THOUGHTS/COMMENTS:**

Q: Is there a specific person in OSP we should call to ask questions?

A: Call OSP's main line and Cindy Scott at the front desk will guide you to the right person

"In the University's new hire orientation, there is nothing compliance related mentioned to the staff/faculty. New faculty lack knowledge about the university's policies, which are based on federal regulations. They don't know what their responsibilities are related to compliance and it's been up to the departments to do it for them until now."

While in Texas, Dr. Nobles had mandatory meetings when faculty received their first grant at the University, introducing them to the university's available services, compliance frameworks, etc. How receptive would department heads be to bringing in Dr. Nobles?

-Compliance /Training should start at the college level and flow from the dean down.

Information Packet combining grants & contracts rules and compliance coming soon!

Q: Is this IMedRIS for all the campuses? Or just for Knoxville?

A: It will cover all campuses that we currently facilitate research compliance for. Examples:

- Bio/radiation-safety: Knoxville, UTSI, GSM, UTIA, AG
- IRB: Knoxville, UTSI, AG (GSM has their own IRB)

The Compliance Screening form will be used by OSP and SPA for UTK activities.

Q: Will the new system "talk" to PAMS and IRIS?

A: No. The information we use in TERA PAMS is different than what we're applying for in their compliance approval. It's a difference of "what you plan to do" vs. "how you plan to do it."

## **Announcements:**

- Introduce new team members:
  - Jennifer Benson – Coordinator in OSP (Proposals)
  - Jay Taylor – SPA Compliance Officer emphasizing on financial compliance and training
- 3 new CRAs: Sherri Armstrong, Patsy Johnson, Barb Wygant
- July Forum will be on Schedule of Final Charges – 7/16/2014