

**Unit Overview/Mission/Purpose**

Research Compliance is charged with overseeing compliance with applicable federal and state laws, regulations, and university policies. Multiple areas within the OVPR actually handle aspects of compliance, however, this report is focused primarily on Regulatory Compliance (Human and Animal Subjects, Biosafety) and Research Compliance (Export Controls, Financial Conflicts of Interest, and the Responsible Conduct of Research). Our customers are faculty, staff, students, sponsors, and external collaborators.

**Staffing**

	FY16	FY17	FY18	FY19
Regulatory Compliance	3	3	3	3
Research Compliance	2	1	1	1

**Success Outcome 1:** Provide up to date training, information, and educational opportunities across content areas in multiple modalities.

**KPI 1.1**

**Data:** CITI online course completion

**Result:** 1910 courses completed by faculty, staff, students, and collaborators (topics include: Human Research, Responsible Conduct of Research, Good Clinical Practice, Health Info Privacy, Export Controls, Information Privacy)

**Response/Action Plan:** CITI is the industry standard for compliance training at institutions of higher education. We periodically review the topics offered and content delivered in the courses.

**KPI 1.2**

**Data:** In-person trainings (some areas in development)

**Result:** 12 sessions offered in Human Subjects InfoEd module with 140 attendees

**Response/Action Plan:** In-person trainings have been developed for Export Controls and Responsible Conduct of Research, and a Pilot course covering Controlled Unclassified Information to be offered in next reporting period.

**KPI 1.3**

**Data:** Customer satisfaction/feedback surveys from attendees at training events

**Result:** N/A

**Response/Action Plan:** Surveys were not used to gather data at the time these trainings were offered. We anticipate having data to include in the next reporting period.

**Success Outcome 2:** Increased utilization of InfoEd system modules and online capabilities where applicable to compliance functions.

**KPI 2.1**

**Data:** Total number of Institutional Review Board (human subjects) submissions received

**Result:**

Initial Applications: 580\*

Amendments: 140

Continuing reviews: 26

Reportable Events: 11

Miscellaneous submissions: 18

Closures: 12

**Response/Action Plan:** As the implementation of the InfoEd module happened, most documents filed in InfoEd at the time of transition came in as an “initial application” so this number may be artificially high. This period of reporting is the only time we expect this to be the case.

**KPI 2.2**

**Data:** Total number of Institutional Animal Care and Use Committee (animal subjects) submissions (not an online system)

**Result:**

New IACUC Protocol Reviews: 30

Active IACUC Protocol Reviews: 41

IACUC Amendments: 98

IACUC Closed Protocols: 35

**Response/Action Plan:**

**KPI 2.3**

**Data:** Total number of Institutional Biosafety Committee submissions (not an online system)

**Result:**

New protocol Reviews: 11

Active IBC Reviews: 29

IBC Amendments: 34

IBC Closed Protocols: 3

**Response/Action Plan:**

**KPI 2.4**

**Data:** Total number of Significant Financial Interest Disclosure submissions processed

**Result:** 618

**Response/Action Plan:**

**Success Outcome 3:** Increase usage of software utilities to perform screenings and evaluations in areas of risk that help protect university members from violations.

**KPI 3.1**

**Data:** Visual Compliance screenings performed

**Result:** 839 (input from HR, Purchasing, Shipping/Receiving, WSRI, Research Compliance, WSU Foundation)

**Response/Action Plan:** Our office also performed a one-time bulk screening of approximately 3,500 vendors in the Banner system. All records screened in Visual Compliance are re-screened daily to catch any updates that happen with government debarment lists. The research compliance office reviews the daily screening results for potential risks to the university.

**KPI 3.2**

**Data:** iThenticate usage (plagiarism prevention screenings)

**Result:** 2,496

**Response/Action Plan:**

**Concluding Remarks (optional):**