

February 3, 2017

A detailed description of the research compliance committees, along with guidance for investigators, is available on the [University's Research Compliance website](#).

Research is highly regulated by state and federal laws which must be obeyed. Please share this message with visitors, students, post docs, and others in your area who perform research. Please make sure they accept their obligation to perform research using the best available safety practices.

Federal Regulations require formal review for *certain classes of activities* **BEFORE** employees **or** students begin work. Review is required whether these regulated activities are supported by external or internal funds, whether they are performed as research or as part of normal instruction in a classroom, lab, or practicum, whether they are performed on or off University grounds, and whether they are part of a formal research program or undertaken as the result of academic curiosity on the part of a professor or student.

*Regulated areas of concern include:*

**PHSC-** Work that involves living human subjects *including* survey research or questionnaires;

**IACUC-** Work that involves the use and care of vertebrate animals;

**RAD-** Work that uses or produces radioactive materials or uses or produces prompt radiation;

**IBC-** Work that involves institutional biosafety concerns such as work leading to contact with:

- Recombinant DNA
- Any human fluid or tissue
- Known infectious agent, including wildlife or plant pathogens
- Wild-caught animals that may harbor infectious agents

Prior to beginning work in any of the areas listed above, investigators must submit compliance proposals that include detailed step-by-step procedures (protocols) to be used in the research. Individuals who intend to perform a particular activity involving regulated areas may **not** judge for themselves whether that work is exempt from formal review. Written committee approvals must be in place prior to beginning any project.

**Annual renewals are not automatic.** Researchers must update protocols annually in order to continue - work. Compliance committee review is required for human subjects survey work that may be done year-after-year in scheduled classes or laboratories. Work must conform to the terms of an approved protocol; any modification of an authorized protocol during the period covered must undergo additional review **prior** to implementation of the change.

All research at William and Mary is done in conformance with the federal government's guidelines for the ethical conduct in research and management of potential conflicts of interest in the [Responsible Conduct of Research](#). Faculty participants who are found to be out of compliance with these federal guidelines may be subject to the disciplinary terms of the [Faculty Handbook](#) as described in its section on Academic Misconduct.

William and Mary provides CITI (Collaborative Institutional Training Initiative) [training modules](#) covering a variety of topics including responsible conduct of research, animal care, biosafety, human subject research, and export controls.

Login information/instructions for CITI modules is available on the Research Compliance website:  
<http://www.wm.edu/offices/sponsoredprograms/researchcompliance/onlinetraining/index.php>

Faculty, staff and students should be aware of basic [safety](#) requirements. It is the principal investigator's responsibility to ensure that potentially hazardous procedures are specifically identified in protocols submitted to the compliance committees. Federal and state law requires that all research be performed according to relevant general laboratory and field safety practices. Federal law also governs the use and management of [Select Agents](#).

Finally, with the exception of work done in our makerspaces, research conducted by students, employees, and visitors at William & Mary is subject to the terms of the [WM Intellectual Property Policy](#).

Dennis Manos  
Vice Provost for Research & Graduate/Professional Studies