**University of Chicago**

**Research and Scholarship Resumption Roles and Responsibilities**

**As of May 25, 2020**

**This document outlines the respective roles and responsibilities of researchers (principal investigators, students, post docs and staff), scholars, department chairs, institute/center directors, and deans within the academic units as well as the Vice Provost for Research (VPR) and other central offices, in ensuring a safe and coordinated resumption of on-campus research activities. This document is maintained by The Vice Provost for Research and will be modified on an ongoing basis.**

**At this time, research that can be completed off campus must continue to take place remotely. Only research that *requires*access to campus because it is the *only place* the work is possible should take place on campus. Time on campus is limited to that necessary to perform research. Research that does take place on campus must adhere to University policies and guidance, including as to the respective roles and responsibilities set forth below.**

1. **Roles and Responsibilities for Researchers and Scholars**
2. **Roles and Responsibilities for Principal Investigators/Researchers in Laboratories and Core Facilities**
   1. Remote work should continue to be the norm for all work that need not take place on campus.
   2. Continue to conduct meetings and conferences remotely.
   3. Ensure that all research staff who will work on site are prepared to do so:
      1. Ensure that all research team members follow University individual requirements (training, attestations, twice-daily self-screening, personal protective equipment (PPE) , hand hygiene, social distancing, cleaning, density and personal health monitoring, reporting sickness, staying home if sick, and avoiding those who are sick.
      2. Ensure that team members follow campus protocol and public health safety recommendations while on campus outside of workspace: social distancing, masking, hand hygiene, and use of common spaces.
      3. Ensure that all team members know whom they should contact in the event they are unable or concerned about returning to on-campus research work.
   4. Ensure PPE supplies are available for all individuals needed to resume research. Please see Section 5 for a description of the items that will be supplied centrally upon initial resumption.
   5. Assign a Lead Safety Contact (LSC) for the research team to assist the PI and Department with research resumption responsibilities.
   6. Develop lab staffing and lab use plans:
      1. Establish a shift schedule to minimize density in the lab.
      2. Monitor and enforce a sign in/sign out process for all research personnel (Note: this is important for contact tracing).
      3. Maintain an up-to-date list of contact information for all research personnel.
      4. Dedicate the use of workstations on laboratory benches and in other workspaces such that people work a minimum of 6 feet apart
      5. In labs, minimize sharing of equipment to allow cleaning between uses. Place shared instrumentation or other research resources in areas that enable increased personnel separation.
      6. Create a plan to ensure that each investigator performs a routine surface decontamination of their own workspace upon completion of their workday.
      7. Ensure that the staffing plan is aligned with grant funding requirements for allocation of salary costs to the project(s) benefitting from the work.
      8. Develop a lab staffing plan that takes into account individuals who are members of vulnerable populations as defined by the CDC and other individuals with disabilities.
   7. Review human subjects, animal and biosafety protocols (as applicable) to assure the protocols are consistent with the research resumption workplan and submit amendments to those protocols as necessary.
   8. Identify core facilities and other shared equipment or resources required for the planned research activities.
   9. Immediately report any potential SARS CoV2 infected research personnel in accordance with University policies to [C19HealthReport@uchicago.edu](mailto:C19HealthReport@uchicago.edu).
   10. Complete the research resumption and regulatory plan, addressing items specified in your Dean’s implementation plan including those set forth above. Submit the plan through the online portal for review by your Department Chair or Dean designee (referred to hereafter as “Chairs”).
3. **Roles and Responsibilities for Researchers and Scholars in Dry Labs, Studios, Offices, and other on-campus sites**
   1. Remote work should continue to be the norm for all work that need not take place on campus.
   2. Continue to conduct meetings and conferences remotely.
   3. Ensure that all research staff who will work on site are prepared to do so:
      1. Ensure that all research team members follow University individual requirements (training, attestations, twice-daily self-screening, personal protective equipment (PPE) , hand hygiene, social distancing, cleaning, density and personal health monitoring, reporting sickness, staying home if sick, and avoiding those who are sick.
      2. Ensure that team members follow campus protocol and public health safety recommendations while on campus outside of workspace: social distancing, masking, hand hygiene, and use of common spaces.
      3. Ensure that all team members know whom they should contact in the event they are unable or concerned about returning to on-campus work.
   4. Ensure PPE supplies are available for all individuals needed to resume research. Please see Section 5 for a description of the items that will be supplied centrally upon initial resumption.
   5. Assign a Lead Safety Contact (LSC) for the research team or facility (as applicable) to assist the PI and Department with research resumption responsibilities
   6. Develop staffing and workspace use plans:
      1. Ensure that the staffing plan is aligned with grant funding requirements for allocation of salary costs to the project(s) benefitting from the work.
      2. Establish a shift schedule to minimize density in the workspace.
      3. Monitor and enforce a sign in/sign out process for all researchers and scholars (Note: this is important for contact tracing).
      4. Maintain an up-to-date list of contact information for all people in workspace
      5. Dedicate the use of workspaces such that people work a minimum of 6 feet apart.
      6. Minimize use of common spaces to allow cleaning in between. Place shared resources in areas that enable increased personnel separation.
      7. Develop a lab staffing plan that takes into account individuals who are members of vulnerable populations as defined by the CDC and other individuals with disabilities.
   7. Review human subjects’ protocols (as applicable) to assure the protocols are consistent with the research resumption workplan and submit amendments to those protocols as necessary.
   8. Immediately report any potential SARS CoV2 infected research personnel in accordance with University policies to [C19HealthReport@uchicago.edu](mailto:C19HealthReport@uchicago.edu).
   9. Complete the research/ scholarship resumption and regulatory plan, addressing items specified in your Dean’s implementation plan including those set forth above. Submit the plan through the online portal for review by your Department Chair or Dean designee (referred to hereafter as “Chairs”).
4. **Departmental Chairs and/or Deputy Deans**
   1. Review each PI research resumption plan for the following:
      1. Is this research only possible on campus?
      2. Is the on-campus research or scholarship time-sensitive and critical research that should be prioritized in the phased resumption?
      3. Is the necessary PPE available?
      4. Are the needed core facilities and shared equipment able to support the planned research?
      5. Does the staffing plan provide a reasonable and equitable distribution of responsibilities?
      6. Are funding sources available (where applicable) and the planned work allocable to those funding sources?
      7. Does the research resumption plan limit persons in the lab or other workspace in a manner that is consistent with the density restrictions?
      8. Does the research plan take into account the need to accommodate vulnerable populations and other individuals with disabilities?
      9. Does the configuration of the lab or other workspace follow the social distancing guidelines?

The Chair should review the research resumption plan with the PI, amend as necessary and submit all plans for approval to the Dean.

Appoint a Departmental Designated Safety Officer who will perform a daily walkthrough of all working laboratories and office spaces/buildings for safety checks.

For dry lab, collaborative spaces, or offices, appoint a Lead Safety Contact who will perform a daily walkthrough of all sites for safety checks.

* 1. Monitor compliance with density, masking and social distancing guidelines at the junctures of individual labs and other workspaces. This monitoring work should involve daily walkthroughs by DSO, reporting through UChicago Accident and Incident Reporting System (UCAIRS) and tracking safety and compliance across metrics to be specified by the VPRs office. These metrics will be provided to the Deans, and in turn to the VPR’s office, Provost, President and the Board of Trustees.
  2. Ensure that shared rooms, equipment, and common areas are properly monitored, cleaned and that personal safety measures and public health measures are followed.
  3. Ensure that all research personnel are familiar with the safety incident reporting tool UCAIR and that is should be used for reporting safety concerns, incidents and accidents, including noncompliance with COVID-related guidelines.
  4. Address any safety incidents or concerns among their faculty and research staff reported through UCAIR. All COVID related reports will trigger an immediate alert to the PI, lab safety officer, chair, dean and VPR.
  5. Encourage incident reporting as a means towards both ongoing safety of individuals and ensuring labs and other workspaces remain open.
  6. Ensure that researchers (students, post docs and staff) know whom they should contact in the event they are unable or concerned about returning to on-campus research work.
  7. Communicate to research team members and PIs that actions regarding personal health and wellbeing can be taken without fear of retaliation and that instances of retaliation will not be tolerated.
  8. Conduct regular reviews of the resumption plan (e.g., every two weeks) with the PI to address shortcomings, remedy safety breaches, and implement process improvements identified by VPR and Deans as guidelines change and learning improves.
  9. Researchers and scholars who work in dry labs, multi-user facilities (institutes and centers), studios, and offices may require review of plan at level other than department chair depending on reporting structure, facility, or other factors. Nevertheless, individual health and public health should be overseen and daily walkthrough of sites should be carried out by a designated safety office or local facilities manager.

1. **Deans**
2. Ensure that research and activities that can be remote, continue to do so. Evaluate and prioritize the most important research activities that can only occur on campus.
3. Provide organizational structure for evaluation, communication, and monitoring of research resumption plans, offices, core facilities and shared equipment and other shared resources, and identify best practices in order to plan for the next resumption phase.
4. Assure adequacy of and monitoring of supplies (PPE, sanitizers, disinfectants, etc.).
5. Coordinate with the central purchasing if additional PPE and supplies beyond the initiation resumption is needed.
6. Establish a process for review and approval of PI research resumption plans and establish a process and timeline for review and readiness assessment. These processes should be consistent with, and inclusive of, the process established by VPR’s office for submission of proposed research resumption plans and additional information via central intake form.
7. Approve, monitor and enforce compliance with research resumption plans and Divisional/University-wide public health and safety requirements/guidance.
8. Regularly communicate with chairs about safety guidelines, new recommendations, and compliance issues; adjust plans as necessary and work with chairs to promptly address compliance issues or safety concerns including reduction of density and workspace closure as needed.
9. Communicate and reinforce ongoing University guidance regarding safety guidelines, monitoring and changing of density.
10. Meet with other Deans to identify opportunities for uniform guidelines/standards about safety across shared building spaces
11. Escalate concerns and issues to Vice Provost for Research regarding resumption activities in the unit.
12. **Central Research Offices**

***Vice Provost for Research***

1. Maintain a record of all approved research resumption plans.
2. Coordinate and communicate research resumption plans and requirements with other campus-wide resumption initiatives.
3. Provide support to the UChicago research community to help with successful implementation through administrative offices within VPR’s purview.
4. The offices below will have access to submitted PI resumption plans and will conduct outreach to PIs where appropriate.
5. Develop and provide metrics for monitoring of safety guidelines and protocols and gather information from the Deans for reporting to Provost, President and Board of Trustees.
6. Hold regular meeting among Deans, laboratories, and other research teams to discuss and continuously update/improve departmental and divisional research resumption plans and activities as guidelines change and learning improves.

***Office of Research Safety (ORS)***

1. Provide safety training for all returning researchers, completion of which is a condition to returning to campus.
2. Develop communications and revise existing documentation as necessary to ensure appropriate use of UCAIRS for COVID-related reports.
3. Maintain and monitor UCAIRS for safety incident reporting and communicate all safety incident reports to the appropriate Chair, Dean and other institutional officials. Develop a protocol for tracking safety incidence, reporting and resolution for each unit.
4. Provide regular safety spot checks on working laboratories and other research groups as part of normal laboratory inspection processes.
5. Coordinate regularly with unit safety officers to compare results, challenges, emerging issues.

***University Research Administration (URA)***

1. Communicate and assist PIs with sponsor required reporting of research activities during the resumption period.
2. Communicate and assist PIs with sponsor-required reporting of any remote work conducted in foreign countries.
3. Advise and support PIs with all research compliance requirements such as cost allocation, payroll verification, allocation of leave costs and other questions of allowable COVID/resumption related costs.

***IRBs, IBC and IACUC***

* 1. Advise PIs on the need for protocol amendments.
  2. Review/approve amendments .

1. **Other Central Administration Offices**
2. Initial limited allotment of items being sourced/procured and distributed centrally via COVID-19 Management Supply are below:
3. Cloth and disposable face covering
4. Nitrile gloves
5. Hand sanitizer and dispensers
6. Surface cleaning disinfectant
7. Paper towels
8. Supply group can provide procurement support when additional items required based on the nature of work/research/education.
9. Other PPE required in a research context may be separately sourced/procured by PIs and units per existing practices but Deans are encouraged to coordinate efforts with COVID-19 Management Supply.
10. Distribute safety signage in place for use of elevators and bathrooms.
11. Distribute safety signage in place for use of common areas, shared rooms, shared equipment not located in the lab.
12. Assess all facilities for readiness and safety modifications.
13. Establish facility policies.