

PPE Non-compliance Escalation Schedule

Six categories (A-F)

A. Undergraduate Student

Names are recorded on a spreadsheet, maintained by the Department of Chemistry & Biochemistry.

- **First incident.** The student will receive a verbal warning and an e-mail will be sent from the Chair of the Departmental Safety Committee to the student's undergraduate research advisor.
- **Second incident.** The student will receive a strongly worded letter from the Chair of the Departmental Safety Committee with copies sent to the student's undergraduate research advisor and the Departmental Safety Committee. The student will receive a grade of Unsatisfactory in CHEM 48498 (Undergraduate Research) for that semester. Paid undergraduates will continue to be paid. The student's undergraduate research advisor will additionally be asked to provide a FOAPAL to purchase a flame-retardant lab coat to replenish Departmental stock.
- **Third incident.** The student will receive a strongly worded letter from the Chair of the Departmental Safety Committee. The student's undergraduate research advisor, the Departmental Safety Committee, the Department Chair, and RMS will receive copies of the letter along with copies of the first (e-mail) and second (letter) incident notifications. The student's PI will be asked to assign the student a failing grade in CHEM 48498 (Undergraduate Research) for that semester. Furthermore, the undergraduate research appointment, whether for research credit or for pay, will be terminated. For the case where the undergraduate is paid, pay will be terminated immediately. Profs. DeeAnne Goodenough-Lashua and Steve Wietstock will be notified that the student has had three safety violations. The student will not be eligible to perform Undergraduate Research with faculty in the Department of Chemistry & Biochemistry.

The student may appeal the termination of their research appointment with the Department Chair. A written appeal must be submitted within five business days following notification of this termination. The Chair will handle specific details of the appeals process.

B. Graduate Student

Names are recorded on a spreadsheet, maintained by the Department of Chemistry & Biochemistry.

- **First incident.** The student will receive a verbal warning and an e-mail will be sent from the Chair of the Departmental Safety Committee to the student's research advisor with copies sent to the Director of Graduate Studies, the Department Chair, and the Departmental Safety Committee. For severe violations the student may be placed on probation as described below.

- **Second incident.** A strongly worded letter will be sent to the student with a cc to the student's research advisor, the Director of Graduate Studies, the Department Chair, and the Departmental Safety Committee. This letter will describe the problem and will provide a remedy that will be undertaken by the student within a fixed timeframe. The solution may include a safety stand down meeting with RMS as well as additional safety training.

If the student has not complied with the outlined stipulations (e.g., completing additional safety training) by the ensuing semester, the student will be put on probation and cannot be supported by University funds. Other support consequences are provided in the Graduate School Bulletin of Information. It is further expected that the student will receive a "U" grade for Research for the semester. If the stipulations of the letter are not met within an agreed-upon timeframe in this ensuing semester, the student will be dismissed from the program.

- **Third incident.** The student is dismissed from the program at the end of the semester (or summer term) in which the third incident occurred. The student will be notified by the Director of Graduate Studies with a cc of the notification along with copies of the first (e-mail) and second (letter) communications sent to both the Chair of the Departmental Safety Committee and the Department Chair. If the student is being supported through a teaching assistantship, they will be expected to complete any teaching obligation(s) for the semester. If the student is supported on a grant, they may continue with written work for the remainder of the semester. No laboratory work will be permitted.

The student has the right to appeal dismissal to the Graduate School or the Department Chair per the procedures outlined in the Graduate School Bulletin of Information or the Department's Guide to Graduate Studies. If the student appeal is successful, the student will be placed on a second probation with the terms of the probation described above. If the stipulations of the probation are not met within an agreed-upon timeframe, the student will be dismissed from the program. Additionally, any ensuing safety violations (beyond the third incident) will result in an automatic end of semester dismissal from the program.

C. Postdoctoral Researcher

Names are recorded on a spreadsheet, maintained by the Department of Chemistry & Biochemistry.

- **First incident.** The researcher will receive a verbal warning and an e-mail will be sent from the Chair of the Departmental Safety Committee to the researcher's advisor/supervisor.
- **Second incident.** The researcher will receive a strongly worded letter from the Chair of the Departmental Safety Committee with copies sent to the research advisor/supervisor, the Department Chair, the Departmental Safety Committee, and the Office of Postdoctoral Affairs. The researcher will not be eligible for a raise upon their annual reappointment, nor will they be eligible for periodically issued NIH-mandated increases in postdoctoral salary rate.
- **Third incident.** The researcher will be issued a 90-day written separation notice from the Department Chair with copies of the notification, along with copies of the first (e-

mail) and second (letter) communications, to the research advisor/supervisor, the Departmental Safety Committee, RMS, and the Office of Postdoctoral Affairs. The researcher cannot conduct laboratory work during this period

The researcher may submit an appeal to the Dean of the College of Science (or the Dean's designee) within five business days of receipt of the separation notice with a cc to their research advisor/supervisor. Within ten business days after receipt of the appeal, the Dean (or the Dean's designee) will issue a written determination, affirming, reversing or modifying the separation along with the reason for the decision. The decision by the Dean (or designee) is final.

D. Non-exempt or Exempt Laboratory Staff Member

Names are recorded on a spreadsheet, maintained by the Department of Chemistry & Biochemistry.

- **First incident.** The staff member will receive a verbal warning and an e-mail will be sent from the Chair of the Departmental Safety Committee to the staff member's supervisor.
- **Second incident.** The staff member will receive a strongly worded letter from the Chair of the Departmental Safety Committee with copies sent to the staff member's supervisor, the Department Chair, the Departmental Safety Committee, and the Office of Human Resources. The staff member will not be eligible for a yearly merit raise.
- **Third Incident.** The staff member will be subject to termination with a two-week notice. The staff member cannot conduct laboratory work during this period. An appeal process can be initiated by the staff member with the Office of Human Resources.
- The staff member non-PPE compliance count will reset every 3 years. The staff member's record will be maintained by the Department of Chemistry & Biochemistry.

E. Faculty

Names are recorded on a spreadsheet, maintained by the Department of Chemistry & Biochemistry.

- **First incident.** The faculty member will receive a strongly worded letter from the Chair of the Departmental Safety Committee with copies sent to the Department Chair, the Departmental Safety Committee, and the Dean of the College of Science. Faculty should note further that

It is the stance of the Department Safety Committee, the Department Chair, and RMS that a PI's laboratory safety record will be strongly considered during the annual merit review process.

- **Second incident.** The faculty member will receive a strongly worded letter from the Chair of the Departmental Safety Committee with copies of the notification sent (along with a copies of the first (letter) communication) to the Department Chair, the Departmental Safety Committee, the Dean of the College of Science, and the Vice President and Associate Provost for Faculty Affairs. The faculty member will meet in person with the Vice President and Associate Provost for Faculty Affairs along with RMS. Faculty should additionally note the above blue framebox.

- **Third incident.** This will initiate a comprehensive discussion between the Departmental Safety Committee, the Department Chair, the Dean of the College of Science, and the Vice President and Associate Provost for Faculty Affairs regarding whether the faculty's research privileges at the University should be terminated. Faculty should additionally note the above blue framebox.
- The faculty member non-PPE compliance count will reset every 4 years. The faculty member's record will be maintained by the Department of Chemistry & Biochemistry.

F. Group Issue

This addresses non-compliance due to an unsafe laboratory culture. Laboratory culture issues are identified by multiple students or researchers from a given laboratory being found to be non-PPE compliant during a given time period. A period is defined as an academic semester and the word "multiple" is defined as two or more.

- **First group/cluster incident.** Students/researchers/faculty will be subject to their respective schedules (Schedules A-E).
- **Second group/cluster incident.** Students/researchers/faculty will be subject to their respective schedules (Schedules A-E). Additionally, the entire group will be required to meet with RMS, the Department Safety Committee, the Department Chair, and the Dean of the College of Science for a safety stand down. No research will be conducted during the stand down until approved by RMS.
- **Third group/cluster incident.** Students/researchers/faculty will be subject to their respective schedules (Schedules A-E). The laboratory will be closed for a specified amount of time that will be decided by the Department Safety Committee in consultation with RMS, the Department Chair, and the Dean of the College of Science.

Departmental Safety Committee Approvals:

Masaru Kuno (Co-chair)	Approve
Mary Prorok (Co-chair)	Approve
Brian Blagg	Approve
Allen Oliver	Approve
Kevin Young	Approve
Prashant Kamat	Approve
Steve Wietstock	Approve
Mitch McGowan/Elizabeth Chang (Head LSOs)	Approve