

Procedure 1010 GD.01

Matrix of University-Wide Requirements

Revision Date: 11/25/19

Requirement	Activity	Reason for Requirement (WHY)	Reference, Regulation or Policy	How Assigned	Frequency	To Fulfill the Requirement	Requirement Owner
Animal Care & Use YARC Facility Training	Handle, care for, or use live vertebrate animals	-Ensure well being of laboratory animals -Ensure ethical and humane care and use of laboratory animals -Protect health and safety of all personnel working with live vertebrate animals -Ensure high quality science and protect the integrity of the research	Federal: -Animal Welfare Act, CFR 9, Subpart C, 2.31, (d) (1) (viii) -The Public Health Service Policy on Humane Care and Use of Laboratory Animals section IV.C. 1.f -8th Edition of the Guide to the Care and Use of Laboratory Animals	TMS Assessment Questionnaire	One-time per facility	Two-part training includes online training and tour of facility(ies). Start here: http://assessment-module.yale.edu/rcr-working-animals/yale-animal-resources-center-yarc-facility-training-part-1	Office of Animal Research Support 203-737-1406 regulatory.services@yale.edu
Biosafety	Handle biological materials in the laboratory	Reduce risk of exposure to biological materials and to promote good microbiological work practices.	State: -CTDPH Code 19A-36-A-25 Federal: -OSHA General Duty Clause -NIH Guidelines for Research With Recombinant and Synthetic Nucleic Acid Molecules	TMS Assessment Questionnaire or assigned by EHS	One-time	Two-part training. Start here: http://ehs.yale.edu/trainings/biological-safety-training-part-1	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
Biosafety Level 3 Training	Work with Risk Group 3 pathogens, or work in Biosafety Level 3 (BSL3) laboratories, or work on protocols utilizing BSL3 work practices	Protect staff, students, faculty and visitors from potentially hazardous biological materials and to promote good microbiological work practices.	Federal: -Department of Health and Human Services (DHHS) 42, Code of Federal Regulations (CFR) 73 -Animal and Plant Health Inspection Service (APHIS) 9 CFR 121 -APHIS 7 CFR 331	Assigned by EHS	Annual	Instructor-led training	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
BL3 Laboratory Medical Consult	Work with Risk Group 3 pathogens, or work in Biosafety Level 3 (BSL3) laboratories, or work on protocols utilizing BSL3 work practices	Reduce risk of illness.	Federal: -Department of Health and Human Services (DHHS) 42, Code of Federal Regulations (CFR) 73 -Animal and Plant Health Inspection Service (APHIS) 9 CFR 121; APHIS 7 CFR 331	Assigned by EHS	One-time	Clinic visit	Employee Health 203-432-0071 fax 203-432-7828 employeehealth-business@yale.edu

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Bloodborne Pathogens	Perform custodial or trades work where the individual may come in contact with equipment or materials that may be contaminated with blood or other bodily fluids	Prevent individuals from becoming infected with bloodborne illnesses.	Federal: -OSHA Bloodborne Pathogen Standard 29 CFR 1910.1030 -OSHA CFR 1910.1030 (g) (2) (i)	Assigned by EHS	Annual	Supervisor-led training	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
Bloodborne Pathogens	Provide care or have contact with patients in a clinical, research or community setting that may expose an individual to human blood or other potentially infectious materials.	Prevent individuals from becoming infected with bloodborne illnesses.	Federal: -OSHA Bloodborne Pathogen Standard 29 CFR 1910.1030 -OSHA CFR 1910.1030 (g) (2) (i)	TMS Assessment Questionnaire or assigned by EHS	Annual	Online training: http://ehs.yale.edu/trainings/bloodborne-pathogen-training-clinical-personnel	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
Bloodborne Pathogens	Provide emergency response or first aid as required by the individual's job description (e.g. Yale Police Department, Athletics Trainers)	Prevent individuals from becoming infected with bloodborne illnesses.	Federal: -OSHA Bloodborne Pathogen Standard 29 CFR 1910.1030 -OSHA CFR 1910.1030 (g) (2) (i)	TMS Assessment Questionnaire or assigned by EHS	Annual	Instructor-led training	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
Bloodborne Pathogens	Work, in a laboratory, with human materials (e.g. human blood, tissues, body fluids, primary or continuous human cell lines), bloodborne pathogens, or other potentially infectious materials, or laboratory equipment potentially contaminated with these materials	Prevent individuals from becoming infected with bloodborne illnesses.	Federal: -OSHA Bloodborne Pathogen Standard 29 CFR 1910.1030 -OSHA CFR 1910.1030 (g) (2) (i)	TMS Assessment Questionnaire or assigned by EHS	Annual	Online training: http://ehs.yale.edu/trainings/bloodborne-pathogen-training-laboratory-personnel	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
Clinical Research Compliance	Prepare budgets for clinical research services involving human subjects (School of Medicine only)	Ensure adequately documented and uniformly accurate medical bills issued by or through the School of Medicine.	Federal: -False Claims Act [31 U.S.C. §§ 3729–3733] -Anti-Kickback Statute [42 U.S.C. § 1320a-7b(b)] -Physician Self-Referral Law [42 U.S.C. § 1395nn] -Exclusion Statute [42 U.S.C. § 1320a-7] -Civil Monetary Penalties Law [42 U.S.C. § 1320a-7a]	TMS Assessment Questionnaire	One-time	Online training: http://medicine.yale.edu/ycci/comp/	Clinical Research Billing Quality Assurance, YCCI 203-785-5218 kelly.santamauro@yale.edu

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Clinical Research Compliance	Provide clinical care services within the context of clinical research studies involving human subjects (School of Medicine only)	Ensure adequately documented and uniformly accurate medical bills issued by or through the School of Medicine.	Federal: -False Claims Act [31 U.S.C. §§ 3729–3733] -Anti-Kickback Statute [42 U.S.C. § 1320a-7b(b)] -Physician Self-Referral Law [42 U.S.C. § 1395nn] -Exclusion Statute [42 U.S.C. § 1320a-7] -Civil Monetary Penalties Law [42 U.S.C. § 1320a-7a]	TMS Assessment Questionnaire	One-time	Online training: http://medicine.yale.edu/ycci/complete/	Clinical Research Billing Quality Assurance, YCCI 203-785-5218 kelly.santamauro@yale.edu
Confined Space	Conduct work in locations (i.e., tanks, pits, boilers, and utility vaults) that have a limited means of entry and exit	Reduce risk of injury.	Federal: OSHA 29 CFR Part 1910.146	Assigned by EHS	One-Time	Instructor-led training	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
DOT Regulated Biomedical Waste Packaging	Package biomedical waste into Stericycle box/bag unit for disposal	Ensure safe transport of hazardous materials and avoid injury and environmental impact from incidents involving hazardous materials packages	Federal: 49 CFR 172.704 Department of Transportation training requirements	Assigned by EHS	Every 3 years	Online training: http://ehs.yale.edu/trainings/bio-medical-waste-dot-training	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
Driver Awareness Training	Drive a University vehicle or University-leased vehicle	Prevent accidents while driving	University: -Policy 1705, University Fleet Policy	TMS Assessment Questionnaire	One-time	Online training: http://your.yale.edu/sites/default/files/files/Quick%20Start%20Registration.pdf	Fleet Management 203-432-2285 yalefleet@yale.edu
External Interest Disclosure Form (a.k.a. Conflict of Interest Disclosure Form)	Has responsibility for the design, conduct or reporting of research	Promote objectivity in research and assure that related external financial interests do not compromise the integrity of research.	Federal: -42 CFR Part 50, Subpart F -45 CFR Part 94 -21 CFR Sections 54.1-54.6 -National Science Foundation Conflict of Interest Policy University: -Yale University Policy on Conflict of Interest -Yale University Faculty Handbook, Section XX.E.1	Automated assignment	Annual and within 30 days of material change(s)	Complete Yale's online disclosure form at: https://ires.yale.edu/WebPortal/Main.asp?Mode=COIUserSearch	Conflict of Interest Office 203-785-4780 conflicts@yale.edu

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External Interest Disclosure Form (a.k.a. Conflict of Interest Disclosure Form)	Hold a faculty position of greater than 50% effort	Identify and address related external interests and ensure that potential conflicts of interest do not bias research, teaching, clinical care, or other University activities.	University: -Yale University Policy on Conflict of Interest -Yale University Faculty Handbook, Section XX.E.1	Automated assignment or self identification	Annual and within 30 days of material change(s)	Complete Yale's online disclosure form at: https://ires.yale.edu/WebPortal/Main.asp?Mode=COIUserSearch	Conflict of Interest Office 203-785-4780 conflicts@yale.edu
External Interest Disclosure Form (a.k.a. Conflict of Interest Disclosure Form)	Hold an administrative position (faculty only)	Identify and address related external interests and ensure that potential conflicts of interest do not bias research, teaching, clinical care, or other University activities.	University: -Yale University Policy on Conflict of Interest -Yale University Faculty Handbook, Section XX.E.1	Self-Identification	Annual and within 30 days of material change(s)	Complete Yale's online disclosure form at: https://ires.yale.edu/WebPortal/Main.asp?Mode=COIUserSearch	Conflict of Interest Office 203-785-4780 conflicts@yale.edu
External Interest Disclosure Form (a.k.a. Conflict of Interest Disclosure Form)	Serve as a member of a research reviewing committee (e.g., IRB, IACUC, IBC, COIC, ESCRO, Radiation Safety)	Identify and address related external interests and ensure that potential conflicts of interest do not bias research, teaching, clinical care, or other University activities.	University: -Yale University Policy on Conflict of Interest -Yale University Faculty Handbook, Section XX.E.1	Self-Identification	Annual and within 30 days of material change(s)	Complete Yale's online disclosure form at: https://ires.yale.edu/WebPortal/Main.asp?Mode=COIUserSearch	Conflict of Interest Office 203-785-4780 conflicts@yale.edu
Good Clinical Practice (GCP) Training	Engaged in conduct of clinical trials	Assure the safety, integrity, and quality of clinical trials	Federal: NIH Notice # NOT-OD-16-148 https://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-148.html	Automated assignment from IRES System	Every 3 years	CITI GCP training, attendance at TransCelerate approved training sessions	Yale Human Research Protection Program 203-785-4688 irb.training@yale.edu
Hearing Test	Work around high levels of noise	Detect noise-induced hearing loss.	Federal: OSHA 29 CFR 1910.95	Assigned by EHS	Annual	Clinic visit to YMG Hearing and Communication Disorders Department	Employee Health 203-432-0071 fax 203-432-7828 employeehealth-business@yale.edu

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HepB Acknowledgement	Provide care or have contact with patients in a clinical, research or community setting that may expose an individual to human blood or other potentially infectious materials.	-Protect employees -Protect patients -Prevent incidences of Hepatitis B in the community	Federal: -OSHA Bloodborne Pathogen Standard 29 CFR 1910.1030 -OSHA CFR 1910.1030 (g) (2) (ii)	TMS Assessment Questionnaire or assigned by EHS	One-time	Complete HepB Acknowledgment Form https://assessment-module.yale.edu/ehs/ehs-hepb-form	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
HepB Acknowledgement	Work, in a laboratory, with human materials (e.g. human blood, tissues, body fluids, primary or continuous human cell lines), bloodborne pathogens, or other potentially infectious materials, or laboratory equipment potentially contaminated with these materials	Protect employees, prevent incidences of Hep B in the community	Federal: -OSHA Bloodborne Pathogen Standard 29 CFR 1910.1030 -OSHA CFR 1910.1030 (g) (2) (ii) -CDC http://www.cdc.gov/vaccines/acip/recs/	TMS Assessment Questionnaire or assigned by EHS	One-time	Complete HepB Acknowledgment Form https://assessment-module.yale.edu/ehs/ehs-hepb-form	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
HIPAA Privacy and Security Training	Hold a primary appointment in the following HIPAA Covered departments: School of Medicine (excluding School of Public Health, Animal Resources Center, and basic science departments); School of Nursing; Department of Psychology (clinics only);	Protect the privacy and security (including the confidentiality, integrity and availability) of protected health information and afford patients certain rights with respect to that information.	Federal: -Department of Health and Human Services (DHHS) 45 CFR 164.530(b)(1) and 45CFR164.308(a)(5)(i) -Health Insurance Portability and Accountability Act of 1996 (HIPAA)	Automated assignment to Faculty, staff and students in: School of Medicine (excluding School of Public Health, Animal Resources Center, and basic science departments); Physician Associate Program; School of Nursing; Yale Health; Department of Psychology (clinics only); Benefits Office staff.	One-time	Online training: http://hipaa.yale.edu/hipaa-privacy-and-security-training	HIPAA Privacy 203-432-5919 hipaa@yale.edu

Requirement	Activity	Reason for Requirement (WHY)	Reference, Regulation or Policy	How Assigned	Frequency	To Fulfill the Requirement	Requirement Owner
HIPAA Privacy and Security Training	Work in a HIPAA Covered department, which include the School of Medicine (excluding School of Public Health, Animal Resources Center, and basic science departments); Physician Associate Program; School of Nursing; Yale Health; Department of Psychology clinics; and Benefits Office.	Protect the privacy and security (including the confidentiality, integrity and availability) of protected health information and afford patients certain rights with respect to that information.	Federal: -Department of Health and Human Services (DHHS) 45 CFR 164.530(b)(1) and 45CFR164.308(a)(5)(i) -Health Insurance Portability and Accountability Act of 1996 (HIPAA)	Automated assignment to Faculty, staff and students in: School of Medicine (excluding School of Public Health, Animal Resources Center, and basic science departments); Physician Associate Program; School of Nursing; Yale Health; Department of Psychology clinics; and Benefits Office.	One-time	Online training: http://hipaa.yale.edu/hipaa-privacy-and-security-training	HIPAA Privacy 203-432-5919 hipaa@yale.edu
HIPAA Privacy and Security Training	Hold a secondary appointment in the following HIPAA Covered departments: School of Medicine (excluding School of Public Health, Animal Resources Center, and basic science departments); School of Nursing; Department of Psychology (clinics only);	Protect the privacy and security (including the confidentiality, integrity and availability) of protected health information and afford patients certain rights with respect to that information.	Federal: -Department of Health and Human Services (DHHS) 45 CFR 164.530(b)(1) and 45CFR164.308(a)(5)(i) -Health Insurance Portability and Accountability Act of 1996 (HIPAA)	TMS Assessment Questionnaire	One-time	Online training: http://hipaa.yale.edu/hipaa-privacy-and-security-training	HIPAA Privacy 203-432-5919 hipaa@yale.edu

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HIPAA Privacy and Security Training	Provide technical (e.g. ITS) or administrative support or oversight to a HIPAA covered department that may involve viewing or accessing protected health information (PHI). (HIPAA Covered departments include the School of Medicine (excluding School of Public Health, Animal Resources Center, and basic science departments); Physician Associate Program; School of Nursing; Yale Health; Department of Psychology (clinics only); and Benefits Office.)	Protect the privacy and security (including the confidentiality, integrity and availability) of protected health information and afford patients certain rights with respect to that information.	Federal: -Department of Health and Human Services (DHHS) 45 CFR 164.530(b)(1) and 45CFR164.308(a)(5)(i) -Health Insurance Portability and Accountability Act of 1996 (HIPAA)	TMS Assessment Questionnaire	One-time	Online training: http://hipaa.yale.edu/hipaa-privacy-and-security-training	HIPAA Privacy 203-432-5919 hipaa@yale.edu
HIPAA Privacy and Security Training- EHS	Participate, as a minor, visiting undergraduate, or Yale undergraduate, in a clinical or research activity in a HIPAA covered department	Protect the privacy and security (including the confidentiality, integrity and availability) of protected health information and afford patients certain rights with respect to that information.	Federal: -Department of Health and Human Services (DHHS) 45 CFR 164.530(b)(1) and 45CFR164.308(a)(5)(i) -Health Insurance Portability and Accountability Act of 1996 (HIPAA)	Assigned by EHS	One-time	Online training: http://hipaa.yale.edu/hipaa-privacy-and-security-training	HIPAA Privacy 203-432-5919 hipaa@yale.edu
Human Research Continuing Education	Continue work on active protocol designing, conducting or analyzing research projects that involve human subjects, human tissue, or review individual medical or personal records for research purposes	Safeguard the welfare of human subjects.	University: http://www.yale.edu/hrpp/documents/HRPPPpolicy800Training-OrientationandEducationfinal.pdf	Automated assignment from IRES IRB System	Every 3 years	Web, instructor-led	Yale Human Research Protection Program 203-785-4688 irb.training@yale.edu
Human Subject Protection training	Design, conduct or analyze research projects that involve human subjects or human tissue, or review individual medical or personal records for research purposes	Safeguard the welfare of human subjects.	University: http://www.yale.edu/hrpp/documents/HRPPPpolicy800Training-OrientationandEducationfinal.pdf	TMS Assessment Questionnaire or automated assignment from IRES IRB System	One-time	CITI Training, instructor-led, certificate from another university	Yale Human Research Protection Program 203-785-4688 irb.training@yale.edu

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Laboratory Chemical Safety	Work in a laboratory where chemicals are present	Reduce risk of exposure to chemicals and to promote good work practices.	Federal: -29 CFR 1910.1450 -29 CFR 1910.1200	TMS assessment questionnaire or assigned by EHS	One-Time	Online training: http://ehs.yale.edu/trainings/Lab-Chemical-Training	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
Laser Safety	Work with lasers	Reduce risk of injury and prevent misuse of lasers.	Federal: -ANSI standard Z136.1 -OSHA 1926.102(b)(2)(i)	Assigned by EHS	One-Time	Two-part training. Start here: http://ehs.yale.edu/trainings/laser-safety-training	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
Lockout/Tagout	Maintain or repair equipment with energized systems	Reduce risk of injury.	Federal: OSHA 29 CFR 1910.147	Assigned by EHS	One-Time	Instructor-led training	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
Measles Immunity	Provide patient care or perform clinical services	-Protect employees -Protect patients -Prevent incidences of Measles in the community	Federal: CDC http://www.cdc.gov/vaccines/acip/recs/	TMS Assessment Questionnaire	One-Time	Certify immunization or immunity	Employee Health 203-432-0071 fax 203-432-7828 employeehealth-business@yale.edu
Medical Billing Compliance	Provide patient services, as a faculty member employed by Yale, that are payable to School of Medicine but are billed by a non-YSM entity	Ensure adequately documented and uniformly accurate medical bills issued by or through the School of Medicine.	Federal: -False Claims Act [31 U.S.C. §§ 3729–3733] -Anti-Kickback Statute [42 U.S.C. § 1320a-7b(b)] -Physician Self-Referral Law [42 U.S.C. § 1395nn] -Exclusion Statute [42 U.S.C. § 1320a-7] -Civil Monetary Penalties Law [42 U.S.C. § 1320a-7a] University: -Yale Medicine Practice Standards	Manually assigned by Medical Billing Compliance office at time of credentialing.	Annual	Online training: https://transact.med.yale.edu/cms/index.asp	Medical Billing Compliance 203-785-3868 judy.harris@yale.edu

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Medical Billing Compliance	Provide clinical services, as a physician or other health care provider, for which the School of Medicine provides billing services (Schools of Medicine and Nursing only)	Ensure adequately documented and uniformly accurate medical bills issued by or through the School of Medicine.	Federal: -False Claims Act [31 U.S.C. §§ 3729–3733] -Anti-Kickback Statute [42 U.S.C. § 1320a-7b(b)] -Physician Self-Referral Law [42 U.S.C. § 1395nn] -Exclusion Statute [42 U.S.C. § 1320a-7] -Civil Monetary Penalties Law [42 U.S.C. § 1320a-7a] University: -Yale Medicine Practice Standards	TMS Assessment Questionnaire or manually assigned by Medical Billing Compliance office at time of credentialing.	Annual	Online training: https://transact.med.yale.edu/cms/index.asp	Medical Billing Compliance 203-785-3868 judy.harris@yale.edu
Medical Billing Compliance (Yale Health)	Provide clinical services, as a physician or other health care provider, for which Yale Health provides billing services.	Ensure adequately documented and uniformly accurate medical bills issued by or through Yale Health.	Federal: -False Claims Act [31 U.S.C. §§ 3729–3733] -Anti-Kickback Statute [42 U.S.C. § 1320a-7b(b)] -Physician Self-Referral Law [42 U.S.C. § 1395nn] -Exclusion Statute [42 U.S.C. § 1320a-7] -Civil Monetary Penalties Law [42 U.S.C. § 1320a-7a]	Manually assigned by Yale Health Finance and Billing Operations	Annual	Online training: https://medicine.yale.edu/ymad/min/medicalbilling/education	Medical Billing Compliance 203-785-3868 judy.harris@yale.edu
Medical Surveillance for Animal Handlers	Enter an animal facility	-Ensure well being of laboratory animals -Protect health and safety of all personnel working with live vertebrate animals	Federal: -8th Edition of the Guide to the Care and Use of Laboratory Animals -CDC/NIH Biosafety in Microbiological and Biomedical Laboratories, 5th Edition	TMS Assessment Questionnaire	One-time	Complete medical questionnaire and submit to Employee Health. Employee health conducts a medical exam if needed.	Office of Animal Research Support 203-737-1406 regulatory.services@yale.edu
Medical Surveillance for Animal Handlers	Handle, care for, or use live vertebrate animals	-Ensure well being of laboratory animals -Protect health and safety of all personnel working with live vertebrate animals	Federal: -8th Edition of the Guide to the Care and Use of Laboratory Animals -CDC/NIH Biosafety in Microbiological and Biomedical Laboratories, 5th Edition	TMS Assessment Questionnaire	Every 3 years	Complete medical questionnaire and submit to Employee Health. Employee health conducts a medical exam if needed.	Office of Animal Research Support 203-737-1406 regulatory.services@yale.edu

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Medical Surveillance for Entering an Animal Housing Room	Provide custodial, trades, or other facilities services in an animal housing room.	-Ensure well being of laboratory animals -Protect health and safety of all personnel working in an area where live vertebrate animals are housed	Federal: -8th Edition of the Guide to the Care and Use of Laboratory Animals -CDC/NIH Biosafety in Microbiological and Biomedical Laboratories, 5th Edition	Assigned by Facilities or Office of Animal Research Support	One-time	Complete medical questionnaire and submit to Employee Health. Employee health conducts a medical exam if needed.	Office of Animal Research Support 203-737-1406 regulatory.services@yale.edu
Noise and Hearing Conservation	Work around high levels of noise	Prevent noise-induced hearing loss.	Federal: OSHA 29 CFR 1910.95	Assigned by EHS	Annual	Instructor-led training	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
Non-Laboratory Chemical Safety	Handle chemicals outside of a laboratory, including cleansers, paints, solvents, fertilizers, pesticides, and bleach and other disinfectants	Ensure that workers who may be exposed to chemicals on the job are informed of the hazards associated with these chemicals, labeling and SDS requirements, personal protective equipment selection and use, and safe chemical handling.	Federal: 29 CFR 1910.1200	TMS Assessment Questionnaire or assigned by EHS	One-Time	Online training: http://ehs.yale.edu/trainings/hazard-communication-training	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
Patent Policy Acknowledgement Agreement	Hired on or after February 27, 2015	Protect rights of the government and University; ensure disclosure of patentable inventions to the University.	Federal: -Patent rights clauses governing government grants, 37 CFR 401.14(a)(f)(2) -NIH Grants Policy Statement (10/1/2012), Section 8.2.4 "Inventions and Patents" University: -Yale University Patent Policy	Automated assignment at onboarding for all new faculty, M&Ps, C&Ts, Postdocs, Graduate Students, Medical School Students	One-time	Online or paper form	Office of Cooperative Research 203-436-8096 ocr@yale.edu
Patent Policy Acknowledgement Agreement	Paid on a federal award	Protect rights of the government and University; ensure disclosure of patentable inventions to the University.	Federal: -Patent rights clauses governing government grants, 37 CFR 401.14(a)(f)(2) -NIH Grants Policy Statement (10/1/2012), Section 8.2.4 "Inventions and Patents" University: -Yale University Patent Policy	Automated assignment for all Yale community members who are paid on a federal award	One-time	Online or paper form	Office of Cooperative Research 203-436-8096 ocr@yale.edu

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Patent Policy Acknowledgement Agreement	Apply for and receive federal awards supporting research or use federal monies in the conduct of research	Protect rights of the government and University; ensure disclosure of patentable inventions to the University.	Federal: -Patent rights clauses governing government grants, 37 CFR 401.14(a)(f)(2) -NIH Grants Policy Statement (10/1/2012), Section 8.2.4 "Inventions and Patents" University: -Yale University Patent Policy	Manual assignment by OCR upon individual's completion of Acknowledgement	One-time	Online or paper form	Office of Cooperative Research 203-436-8096 ocr@yale.edu
Patent Policy Acknowledgement Agreement	Engage in activity that could lead to or has led to patentable intellectual property	Protect rights of the government and University; ensure disclosure of patentable inventions to the University.	Federal: -Patent rights clauses governing government grants, 37 CFR 401.14(a)(f)(2) -NIH Grants Policy Statement (10/1/2012), Section 8.2.4 "Inventions and Patents" University: -Yale University Patent Policy	Manual assignment by OCR upon individual's disclosure of invention to OCR	One-time	Online or paper form	Office of Cooperative Research 203-436-8096 ocr@yale.edu
PCI (Payment Card Industry) data security	Store, process or transmit cardholder data	Ensure internal controls are in place to protect cardholder data	University: Yale University Policy 2820 Acceptance of Credit and Debit Card Payments	TMS Assessment Questionnaire	Annual	Online training: https://bmsweb-h.yale.edu/ords/tms/tms_enrollments.offerings?pcrs_id=6484&p_std_id=	Controller's Office 203-432-5524 Controllers.office@yale.edu
PI Orientation to the Yale Biological Safety Manual	Principal Investigators who conduct research with biological materials	Provide an overview of Yale Biosafety program and regulatory requirements.	Federal: NIH Guidelines for Research Involving Recombinant and Synthetic Nuclei Acid Molecules, November 2013	Assigned by EHS	One-Time	Online training: http://ehs.yale.edu/trainings/pi-orientation-biosafety-manual	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
Powered Industrial Vehicles	Operate powered industrial vehicles such as forklifts, order-pickers, and motorized pallet jacks	Reduce risk of injury and prevent damage to property.	Federal: OSHA 29 CFR 1910.178	Assigned by EHS	Every 3 years	Instructor-led training	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu

Requirement	Activity	Reason for Requirement (WHY)	Reference, Regulation or Policy	How Assigned	Frequency	To Fulfill the Requirement	Requirement Owner
Preventing & Responding to Sexual Misconduct	Employed as Yale faculty, staff, or trainee	Cultivate an environment at Yale that is respectful, inclusive, and free of sexual misconduct through training that outlines and explains Yale's policies and definitions, campus resources, reporting mechanisms, and general strategies for prevention and response	Federal: -Violence Against Women Act (VAWA) Title IV, sec. 40001-40703 of the Violent Crime Control and Law Enforcement Act, H.R. 3355 State: -Connecticut P.A. 14-11 https://www.cga.ct.gov/2014/ACT/pa/pdf/2014PA-00011-R00HB-05029-PA.pdf University: -Yale Sexual Misconduct Policies	Automated assignment to faculty, staff, trainees, and graduate and professional school students.	Annual	Online training: https://smr-training.yale.edu/	University Title IX Coordinator 203-432-6854 TitleIX@yale.edu
Preventing & Responding to Sexual Misconduct	Registered as a graduate or professional student	Cultivate an environment at Yale that is respectful, inclusive, and free of sexual misconduct through training that outlines and explains Yale's policies and definitions, campus resources, reporting mechanisms, and general strategies for prevention and response	Federal: -Violence Against Women Act (VAWA) Title IV, sec. 40001-40703 of the Violent Crime Control and Law Enforcement Act, H.R. 3355 State: -Connecticut P.A. 14-11 https://www.cga.ct.gov/2014/ACT/pa/pdf/2014PA-00011-R00HB-05029-PA.pdf University: -Yale Sexual Misconduct Policies	Automated assignment to faculty, staff, trainees, and graduate and professional school students.	Annual	Online training: https://smr-training.yale.edu/	University Title IX Coordinator 203-432-6854 TitleIX@yale.edu
Rabies Immunity	Employed as a veterinarian for the University	Reduce risk of contracting rabies.	Federal: CDC http://www.cdc.gov/vaccines/acip/recs/	TMS Assessment Questionnaire	Every 2 years	Provide documentation of immunization or immunity	Employee Health 203-432-0071 fax 203-432-7828 employeehealth-business@yale.edu
Rabies Immunity	Handle, care for, or use feral animals at risk for rabies transmission	Reduce risk of contracting rabies.	Federal: CDC http://www.cdc.gov/vaccines/acip/recs/	TMS Assessment Questionnaire	Every 2 years	Provide documentation of immunization or immunity	Employee Health 203-432-0071 fax 203-432-7828 employeehealth-business@yale.edu
Radiation Safety Awareness	Work in laboratory where other research groups handle radioactive materials	Reduce risk of exposure to individuals, loss of sources, and misuse of sources.	University: Decision by Radiation Safety Committee (meeting dated December 14, 2015)	Assigned by EHS	One-time	Online training: http://ehs.yale.edu/trainings/radiation-safety-awareness	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu

Requirement	Activity	Reason for Requirement (WHY)	Reference, Regulation or Policy	How Assigned	Frequency	To Fulfill the Requirement	Requirement Owner
Radiation Safety for Sealed Sources	Procure, secure, use, store, handle and dispose of radioactive sealed sources	Reduce risk of exposure to individuals, loss of sources, and misuse of sources.	Federal: 10 CFR 20.1906 University: -Yale's NRC type A license of broadscope -Corrective action to May, 2015 Na-22 sealed source incident.	Assigned by EHS	One-time	Two-part training. Start here: https://ehs.yale.edu/trainings/sealed-sources	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
Radiation Safety for Unsealed Sources	Work with University radioactive material/sources, or work for a PI who is authorized to use radioactive materials/sources.	Reduce risk of exposure to individuals and environment, and prevent misuse.	Federal: -10 CFR Part 19 -NRC License Commitment	TMS Assessment Questionnaire or assigned by EHS	One-Time	Two-part training. Start here: http://ehs.yale.edu/trainings/radiation-safety-basic-concepts	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
Radiation-Producing Equipment	Work with or near radiation-producing equipment, including irradiators and x-ray equipment	Reduce risk of exposure and injury to individuals	State: CT DEEP Administrative Regulations Sec. 19-25d-(b)(2)	Assigned by EHS	One-Time	Two-part training. Start here: http://ehs.yale.edu/trainings/x-ray-safety	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
Recognition and Prevention of Sexual Harassment	Supervise at least one person including students. Must complete within six months of becoming a supervisor. (Applies to Faculty and Staff)	Recognize, prevent, and resolve sexual harassment situations in the workplace.	State: Section 46a-54 (15) (B) and 45a-54-204 of the Connecticut General Statutes	Automated assignment to individuals designated as supervisors in the HR system	One-Time	Instructor-led or Online training: https://bmsweb.med.yale.edu/tms/enrollments.offerings?p_crs_id=923&p_std_id=#	Office of Institutional Equity and Access 203-432-0849 equalopportunity@yale.edu
Recognition and Prevention of Sexual Harassment	Do not supervise anyone (Applies to Faculty and Staff)	Recognize, and prevent sexual harassment situations in the workplace.	State: Act 19-16 the Times Up Act	Automated assignment to individuals designated as faculty or staff in the HR system	Every Ten Years	Attend instructor-led training: or after December 2019 on-line training	Office of Institutional Equity and Access 203-432-0849 equalopportunity@yale.edu

Requirement	Activity	Reason for Requirement (WHY)	Reference, Regulation or Policy	How Assigned	Frequency	To Fulfill the Requirement	Requirement Owner
Regulatory Training for Animal Care and Use	Handle, care for, or use live vertebrate animals	-Ensure well being of laboratory animals -Ensure ethical and humane care and use of laboratory animals -Protect health and safety of all personnel working with live vertebrate animals -Ensure high quality science and protect the integrity of the research	Federal: -Animal Welfare Act, CFR 9, Subpart C, 2.31, (d) (1) (viii) -The Public Health Service Policy on Humane Care and Use of Laboratory Animals section IV.C. 1.f	TMS Assessment Questionnaire	One-time	Online training: http://assessment-module.yale.edu/rcr-working-animals/rcr-working-animals	Office of Animal Research Support 203-737-1406 regulatory.services@yale.edu
Respirator Exam	Perform custodial or trades work that may expose the employee to harmful airborne hazards (e.g. Grounds, Custodial, Glazers, Horticulturalists)	Ensure that respirator use doesn't cause medical harm to the individual	Federal: -OSHA Standard 20 CFR 1910.134	TMS Assessment Questionnaire or assigned by Employee Health	One-time	Clinic visit or surveillance form	Employee Health 203-432-0071 fax 203-432-7828 employeehealth-business@yale.edu
Respirator Exam	Provide patient care or clinical services that may expose the employee to harmful airborne infectious agents	Ensure that respirator use doesn't cause medical harm to the individual	Federal: -OSHA Standard 20 CFR 1910.134	TMS Assessment Questionnaire or assigned by Employee Health	One-time	Clinic visit or surveillance form	Employee Health 203-432-0071 fax 203-432-7828 employeehealth-business@yale.edu
Respiratory Protection	Perform clinical work that may expose the employee to airborne infectious agents	Reduce risk of inhalation exposure to airborne infectious agents.	Federal: OSHA 29 CFR 1910.134	TMS Assessment Questionnaire or assigned by EHS	Annual	Instructor-led training	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
Respiratory Protection	Perform non-clinical work that may expose the employee to airborne hazards	Reduce risk of inhalation exposure to airborne hazards.	Federal: OSHA 29 CFR 1910.134	TMS Assessment Questionnaire or assigned by EHS	Annual	Instructor-led training	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
Rubella Immunity	Provide patient care or perform clinical services	-Protect employees -Protect patients -Prevent incidences of Rubella in the community	Federal: CDC http://www.cdc.gov/vaccines/acip/recs/	TMS Assessment Questionnaire	One-Time	Certify immunization or immunity	Employee Health 203-432-0071 fax 203-432-7828 employeehealth-business@yale.edu
Shipping & Export Controls General Awareness	Work in an area or department where research/clinical materials are used, shipped from, ordered or stored	Reduce risk of injury or exposure to individuals and general population, and reduce environmental impact	Federal: 49 CFR 172.800	Automated assignment to principal investigators, researchers, clinicians and administrative personnel.	One-Time	Online training: https://ehs.yale.edu/trainings/shipping-export-controls-general-awareness	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu

Requirement	Activity	Reason for Requirement (WHY)	Reference, Regulation or Policy	How Assigned	Frequency	To Fulfill the Requirement	Requirement Owner
Shipping Biological Substances, Category B	Ship human or animal materials (including those that may harbor an infectious agent, except Risk Group 4 and Select Agents, which are Category A) or recombinant DNA materials that can infect cells, but not cause disease	Reduce risk of injury or exposure to individuals and general population, and reduce environmental impact	Federal: 49 CFR 172 Subpart H	Assigned by EHS	Every 3 years	Online training: http://ehs.yale.edu/trainings/shipping-biological-substances-category-b	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
Shipping Dry Ice	Ship non-hazardous materials on dry ice	Reduce risk of injury or exposure to individuals and general population, and reduce environmental impact	Federal: 49 CFR 172 Subpart H	Assigned by EHS	Every 3 years	Online training: http://ehs.yale.edu/trainings/shipping-dry-ice	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
Shipping Infectious Substances, Category A	Ship cultures or stocks of human or animal pathogens, or genetically modified organisms meeting the definition of a pathogen.	Reduce risk of injury or exposure to individuals and general population, and reduce environmental impact	Federal: 49 CFR 172 Subpart H	Assigned by EHS	Every 3 years	Online training: http://ehs.yale.edu/trainings/shipping-infectious-substances-category-a	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
Sponsored Projects Administration Training	Listed as PI or co-PI on a research proposal	Ensure that the proposing of sponsored award funds and expenditure of those funds is in accordance with University, sponsor, and regulatory requirements.	University: -Policy 1310, Principal Investigator Eligibility Requirements on Sponsored Projects	Manually assigned by OSP or automated assignment from IRES System	One-time	Online training: http://assessment-module.yale.edu/research-administration/sponsored-projects-administration-training-yale-faculty	Office of Research Administration 203-785-2744 researchadmin@yale.edu

Requirement	Activity	Reason for Requirement (WHY)	Reference, Regulation or Policy	How Assigned	Frequency	To Fulfill the Requirement	Requirement Owner
Standards of Business Conduct	Employed as Yale faculty or staff	Ensure understanding of the ethical and legal principles that apply when carrying out the work of the University.	University: -Yale Standards of Business Conduct	Automated assignment to all faculty and staff	One-time	Online training: https://bmsweb.med.yale.edu/tms/enrollments/offerings?prs_id=2509&std_id=#	Office of the General Counsel 203-432-4949
TB Screening	Enter a non human primate facility	Prevent illness in laboratory animals.	University:	Assigned by Office of Animal Research Support	Annual	Provide documentation of test results	Employee Health 203-432-0071 fax 203-432-7828 employeehealth-business@yale.edu
TB Screening	Handle, care for, or use non human primates	Prevent illness in laboratory animals.	University:	Assigned by Office of Animal Research Support	Annual	Provide documentation of test results	Employee Health 203-432-0071 fax 203-432-7828 employeehealth-business@yale.edu
TB Screening	Provide patient care or perform clinical services	-Protect patients -Prevent incidences of Tuberculosis in the community.	Federal: -OSHA CPL 2.106 -OSHA 29 CFR 1910.1030	TMS Assessment Questionnaire	One-time	Provide documentation of test results	Employee Health 203-432-0071 fax 203-432-7828 employeehealth-business@yale.edu
Tetanus-diphtheria Immunity	Handle, care for, or use live vertebrate animals	Reduce incidences of Tetanus-diphtheria.	Federal: CDC http://www.cdc.gov/vaccines/acip/recs/	TMS Assessment Questionnaire	Every 10 years	Provide documentation of immunization or immunity	Employee Health 203-432-0071 fax 203-432-7828 employeehealth-business@yale.edu
Tuberculosis Awareness	Provide patient care or clinical services	Prevent incidences of Tuberculosis in the community	Federal: -OSHA CPL 2.106 (Tuberculosis) -OSHA 29 CFR 1910.1030	TMS Assessment Questionnaire or Assigned by EHS	One-time	Online training: http://ehs.yale.edu/trainings/tb-exposure-control	Environmental Health & Safety 203-785-3211 safetytraining@yale.edu
Vaccinia Medical Consult	Handle vaccinia virus in a laboratory	Reduce risk of illness.	Federal: CDC http://www.cdc.gov/vaccines/acip/recs/	TMS Assessment Questionnaire	One-time	Clinic visit	Employee Health 203-432-0071 fax 203-432-7828 employeehealth-business@yale.edu

Requirement	Activity	Reason for Requirement (WHY)	Reference, Regulation or Policy	How Assigned	Frequency	To Fulfill the Requirement	Requirement Owner
Vaccinia Medical Consult	Handle, care for, or use animals infected with vaccinia	Reduce risk of illness.	Federal: CDC http://www.cdc.gov/vaccines/acip/recs/	TMS Assessment Questionnaire	One-time	Clinic visit	Employee Health 203-432-0071 fax 203-432-7828 employeehealth-business@yale.edu
Varicella Immunity	Provide patient care or perform clinical services	-Protect employees -Protect patients -Prevent incidences of Varicella in the community	Federal: CDC http://www.cdc.gov/vaccines/acip/recs/	TMS Assessment Questionnaire	One-Time	Certify immunization or immunity	Employee Health 203-432-0071 fax 203-432-7828 employeehealth-business@yale.edu
Yale University HIPAA Attestation	Hold a primary appointment in the following HIPAA Covered departments: School of Medicine (excluding School of Public Health, Animal Resources Center, and basic science departments); School of Nursing; or Department of Psychology (clinics only)	Protect the privacy and security of electronic protected health information (ePHI).	Federal: -Health Insurance Portability and Accountability Act of 1996 (HIPAA), Section 164.308(a)(5)	Automated assignment to Faculty, staff and students in: School of Medicine (excluding School of Public Health, Animal Resources Center, and basic science departments); Physician Associate Program; School of Nursing; Yale Health; Department of Psychology (clinics only); Benefits Office staff.	Annual	Complete attestation: https://bmsweb.med.yale.edu/tms/enrollments.offerings?pcrs_id=2448	ITS Information Security Office information.security@yale.edu
Yale University HIPAA Attestation	Work in a HIPAA Covered department, which include(School of Medicine (excluding School of Public Health, Animal Resources Center, and basic science departments); Physician Associate Program; School of Nursing; Yale Health; Department of Psychology clinics; or Benefits Office	Protect the privacy and security of electronic protected health information (ePHI).	Federal: -Health Insurance Portability and Accountability Act of 1996 (HIPAA), Section 164.308(a)(5)	Automated assignment to Faculty, staff and students in: School of Medicine (excluding School of Public Health, Animal Resources Center, and basic science departments); Physician Associate Program; School of Nursing; Yale Health; Department of Psychology clinics; and Benefits Office.	Annual	Complete attestation: https://bmsweb.med.yale.edu/tms/enrollments.offerings?pcrs_id=2448	ITS Information Security Office information.security@yale.edu

Requirement	Activity	Reason for Requirement (WHY)	Reference, Regulation or Policy	How Assigned	Frequency	To Fulfill the Requirement	Requirement Owner
Yale University HIPAA Attestation	Hold a secondary appointment in the following HIPAA Covered departments: School of Medicine (excluding School of Public Health, Animal Resources Center, and basic science departments); School of Nursing; or Department of Psychology (clinics only)	Protect the privacy and security of electronic protected health information (ePHI).	Federal: -Health Insurance Portability and Accountability Act of 1996 (HIPAA), Section 164.308(a)(5)	TMS Assessment Questionnaire	Annual	Complete attestation: https://bmsweb.med.yale.edu/tms/enrollments.offerings?pcrs_id=2448	ITS Information Security Office information.security@yale.edu
Yale University HIPAA Attestation	Provide technical (e.g. ITS) or administrative support or oversight to a HIPAA covered department that may review viewing or accessing protected health information (PHI). (HIPAA Covered departments include the School of Medicine (excluding School of Public Health, Animal Resources Center, and basic science departments); Physician Associate Program; School of Nursing; Yale Health; Department of Psychology (clinics only); and Benefits Office	Protect the privacy and security of electronic protected health information (ePHI).	Federal: -Health Insurance Portability and Accountability Act of 1996 (HIPAA), Section 164.308(a)(5)	TMS Assessment Questionnaire	Annual	Complete attestation: https://bmsweb.med.yale.edu/tms/enrollments.offerings?pcrs_id=2448	ITS Information Security Office information.security@yale.edu