
Animals and Human Subject Information

- PIs must have approved research protocols to conduct animal or human subject research at UTMB.

Animals:

- Animal protocols are due to Research Services by 5:00 p.m. of the first of the month for consideration at the monthly Institutional Animal Care & Use Committee (IACUC) meeting.
- Animal protocols require training of PIs and research staff. Training is via UTMB's online training program.
- <http://research.utmb.edu/iacuc>

Humans:

- Human protocols are due to Research Services by 5:00 p.m. of the first working day of the month for consideration at the mid-month IRB meeting OR by 5:00 p.m. on the 15th (or the first working day after the 15th) of the month for consideration at the end-of-month Institutional Review Board (IRB) meeting.
 - Human protocols require training of PIs and research staff. Training is via UTMB's online training program.
 - <http://research.utmb.edu/irb>
- ### HIPAA Privacy Rule Information:
- Jim Kelso, Privacy Officer, 409-747-8706
 - www.utmb.edu/compliance/hipaa

Other

Clinical Billing

- Hospital Patient Financial Services – 409-747-1063

Environmental Health & Safety – 409-772-1781

- Biological & Chemical Safety, Environmental Safety and Radiation Safety
- Contact Environmental Health & Safety for information and regulation of the use of Select Agents, Recombinant DNA, Infectious Agents, Hazardous Chemicals or Biochemicals and Radioisotopes

Intellectual Property/Copyrights/Patents

- Center for Technology Development – 409-772-7953

OMB Circulars

www.whitehouse.gov/omb/circulars

(Includes OMB Circular A-21, A-110, A-133)

NIH Grants Policy Statement

http://grants.nih.gov/grants/policy/nihgps_2003/

Research Services

<http://research.utmb.edu>

UTMB Fraud and Abuse Hotline

1-800-898-7679

PI Manual

<http://research.utmb.edu/osp/files/PIManual.pdf>

Resources

Research Services Administration

409-772-6015

William New, Associate Dean
Ann Elbert, Director, Research Services Administration

Sponsored Programs Administration

409-266-9400

Toni D'Agostino, Director, Sponsored Program Development & Pre-Award

Connie Barton, Manager, Project Set-Up
Kelly Lee, Manager, Pre-Award
Susan Ramsey, Manager, Contract Services

John States, Director, Post Award & Finance
Reva Rogers, Acting Supervisor, Post Award
Govind Narasimhan, Manager, Reporting
Glenita Segura, Manager, Billing

Pre/Post Award Specialists by Department:

http://research.utmb.edu/osp/about_dept.shtm

Research Subject Protections

409-266-9475

Wayne Patterson, Ph.D., Sr. Assistant Vice President
April Vanderslice, Manager, Institutional Review Board
Allan Silva, Manager, Institutional Animal Care & Use Cmte.

Animal Resources Center

409-772-1275

William Masters, D.V.M., Director

Conflict of Interest

409-266-9437

Loretta Davis, Manager

Government Affairs, Scientific Integrity, Export Controls

409-266-9482

Christopher N. Johnsen, J.D., Director

Time & Effort, Quality Assurance

409-266-9434

Kathlyn Smith, Manager

Research Education

409-266-9433

Christy Taylor, Manager

Good Laboratory Practice

409-266-9475

Wayne Patterson, Ph.D., Sr. Assistant Vice President

Research Technology Support

409-772-9347

Tanya Archer, Engineering Technician
Denis Gooding, Biomed/Clinical Engineering Specialist

Research Development

409-266-9400

Jo Bremer, Science Writer/Editor
Linda Crumpler, Science Writer/Editor
Pamela Kiani, Clinical Trials Specialist



Principal Investigator's Quick Reference Guide for Research Compliance

RESEARCH SERVICES' VISION: To excel as a value-added partner in the UTMB research enterprise.

RESEARCH SERVICES' MISSION: To facilitate the UTMB research mission, from funding identification through project completion, by:

- Providing research-specific resources and education;
- Promoting the responsible conduct of research; and
- Advising and assisting with administrative policies and regulations.

Principal Investigator (PI)

Research awards are made to UTMB on behalf of the PI. The PI is responsible for:

- Providing the scientific direction of the research program.
- Ensuring research is conducted ethically and in accordance with the award terms and conditions.
- Ensuring the proper financial stewardship of the research program, including the allowability, allocability, and reasonableness of all expenditures.

For additional information on Roles & Responsibilities, please see <http://research.utmb.edu/osp/roles.shtm>.

To assist you in the proper discharge of your responsibilities as a PI, it may be helpful to have the following information:

Definitions:

Co-Investigator – An individual involved with the PI on the scientific development or execution of a project. A Co-I typically devotes a specified percentage of time to the project and is considered “key personnel.” He/She does not affect the PI’s roles and responsibilities.

Equipment – Non-expendable item having a useful life of more than one year and an acquisition cost of \$5,000 or more.

Key Personnel – Individuals identified by the PI who contribute to the scientific development or execution of a project in a substantive, measurable way. “No effort” or “as needed” is not an acceptable level of involvement for key personnel.

PI/Program Director/Project Director – Individual designated by UTMB to direct the project or activity being supported by the grant. He/She is responsible and accountable to UTMB for the proper conduct of the project or activity.

Program Income – Gross income earned by the grantee that is directly generated by the grant-supported project or activity or earned as a result of the award.

Program Official – The sponsor official responsible for the programmatic, scientific, and/or technical aspects of a grant. This person: is your **advocate** within the sponsor organization.

Research Misconduct – Fabrication, falsification, or plagiarism in proposing, performing, or reporting research or results.

Terms and Conditions of Award – All legal requirements imposed on a grant by the sponsor, whether based on statute, regulation, policy or other documentation referenced in the grant award, or specified by the grant award document itself.

The UTMB Research Services’ Authorized Official Signature on a grant application:

- Certifies that UTMB will comply with all applicable assurances and certifications referenced in the application.
- Assures that UTMB will be accountable both for the appropriate use of funds awarded and for the performance of the grant-supported project or activities resulting from the applications; and
- Attests that all information contained in the application is true, complete and conforms to Federal and organization requirements.

Conflict of Interest

Annual Conflict of Interest Disclosure Forms are required from:

- All Faculty
- All A&P Employees
- Individuals who serve on institutional research-related review committees
- Individuals who negotiate or execute research-related agreements on behalf of UTMB
- All faculty agents, staff, students, fellows, trainees or administrators who participate in research (e.g., listed on an IRB or IACUC research protocol).

Please see full policy at: <http://research.utmb.edu/coi/default.shtm>. Forms can be completed on-line at: www.utmb.edu/online

Direct Costs

- Must be specifically identified with a particular project – Charge it where you use it!
- Must be allocable (i.e., costs must be charged in proportion to their benefit to a particular project).
- Must be reasonable (i.e., charging costs to a particular project must be done conservatively and reflect the actions of a prudent person).
- Must be allowable (i.e., certain costs, such as entertainment, generally may not be charged to a Federal grant).
- Also, costs normally included in the institution’s research F&A cost rate (i.e., administrative staff or office supplies), CANNOT be directly charged to a Federal grant. (See Institutional Handbook of Operating Procedures Policy 4.5.2 Consistent Treatment of Cost.)
- Must be timely (cost transfers should occur as soon as an error is discovered but no later than 90 days after original charge was incurred).
- Must conform to any limitations or exclusions in Sponsored Agreements.
- See OMB Circular A-21:
http://www.whitehouse.gov/omb/circulars/a021/a21_2004.pdf

Facilities & Administrative Costs (F&A)

Definition: Costs that are incurred by a grantee for common or joint objectives and that, therefore, cannot be identified specifically with a particular project or program. Examples include costs such as lab space, housekeeping, utilities, libraries, and general administration.

- The Facilities & Administrative Cost Rate is negotiated with the DHHS, Division of Cost Allocation.
- For current F&A Rates, please see: <http://research.utmb.edu/osp/fringe.shtm>
- The PI must utilize the applicable F&A rate in all competitive and non-competitive proposals submitted, unless specifically prohibited or altered by the sponsor.

Cost Transfers

Definition: A cost transfer occurs when an expense is transferred from one PeopleSoft Chartfield to another or from one account (object code) to another when an error has occurred.

Cost transfers must comply with principles of direct costs.

- Transfers are a means of correcting errors, NOT managing project funds.
- Transfers must be supported with full, detailed explanation, not just what was done, but why the transfer was necessary.
- Transfers must be completed within 90 days after the need is first identified; tardy transactions require an explanation for lateness, and must be approved by the Department Chair.
- Costs allocable to several projects CANNOT generally be charged solely to a single project.
- Costs not allocable to a project CANNOT be charged or transferred to that project temporarily.
- Please see UTMB Cost Transfer policy at: http://intranet.utmb.edu/Policies_And_Procedures/Search_Results/PNP_052315.

Cost Sharing

Definition: Specific portion of the project or program costs which are not funded by the sponsor and are borne by UTMB. These costs are committed in the proposal as a requirement of the sponsor/program or as volunteered, and thus committed, by the PI/Department.

- If proposed, cost sharing MUST have an approved internal funding source, departmental authorization on the Proposal Routing Form and Dean of Medicine authorization.
- Unallowable costs CANNOT be included in the portion of costs shared by the University.
- The cost sharing portion of a project cannot be funded from another federal project.
- Costs benefiting another project CANNOT be included as cost sharing.
- Costs resulting from a sponsored project **overdraft** at expiration represent project costs borne by UTMB and therefore are considered as cost sharing, although they may not be used to fulfill a cost share commitment.
- Proposal which have cost sharing will be reviewed by Entity CFO’s prior to institutional signature
- For additional guidance, see OMB Circular A-110 – Subpart C. 23, which discusses the requirements for cost sharing:
www.whitehouse.gov/omb/circulars/a110/a110.html.

NIH Salary Cap

The NIH (plus AHRQ and SAMHSA) limits the amount of direct salary charged to its grants.

- Compensation for individuals on NIH grants cannot exceed a stipulated rate of pay per year or per academic appointment.
- For current NIH salary cap information, please see: <http://research.utmb.edu/osp/fringe.shtm>

Effort Reporting

- Federal regulations require salary and effort certification on Federally sponsored projects.
- UTMB employees certify effort with an after-the-fact confirmation, using the online UTMB Effort Reporting System.
- Faculty who work on Federally sponsored projects (with or without pay) currently report quarterly.
- Classified employees working on Federally sponsored projects report monthly.
- Effort reports are to be completed by the employee, PI or “responsible official” using suitable means of verification that the work was performed.
- Effort calculation is not based upon a 40-hour work week; all hours worked in UTMB-related activities must be included as a percentage of effort.
- For more information about federally mandated effort reporting requirements and UTMB policies and procedures, call Research Services at 266-9400 or email kasmith2@utmb.edu.

Who can apply for a grant?

For information regarding PI eligibility, please visit the following link: http://research.utmb.edu/osp/sponsored_who.shtm

Authorship Guidelines

Everyone listed as an author should have made a substantial, direct, intellectual contribution to the work. Please see Authorship Guidelines at: <http://www.utmb.edu/avpr/integrity/guidelines.htm>