

Resources

Responsible conduct of research: The University expects investigators to conduct research and report research results in accordance with the highest standards of honesty and integrity. For more resources related to the responsible conduct of research, as well as to view the University's Policy on Alleged Misconduct in Research and Other Scholarly Activities, see

www.uvm.edu/policies/grants/researchmisconduct.pdf Discipline-specific, on-line research ethics training for investigators and their research teams is available through the Collaborative Institutional Training Initiative (CITI). Please see www.uvm.edu/spa/?Page=responsibleconduct_cititraining.html for more information.

Roles and Responsibilities for sponsored projects: Proper stewardship and compliance for sponsored projects require a cooperative effort among central administration and the academic or administrative units where projects are initiated and carried out. For a detailed statement of roles and responsibilities see www.uvm.edu/spa/?Page=rolesandresponsibilities.html

Vertebrate animal research: Before you begin research with vertebrate animals you must present the proposed work in a protocol for the University's Institutional Animal Care and Use Committee (IACUC) for review and approval. You are responsible for carrying out the project as approved by the IACUC, among other requirements. For more information visit www.uvm.edu/iacuc/education/research%20manual/researchmanual.htm

For more information and assistance in meeting your compliance requirements:

Many on-line training resources are linked through **UVM's Institutional Compliance Program**
<http://www.uvm.edu/~complain/>

UVM's Policy Information Site
www.uvm.edu/~uvmppg/ppg/

Sponsored Project Administration (SPA)
www.uvm.edu/spa/
802-656-3360

Research Protections Office (RPO)
www.uvm.edu/rpo/
656-5040

Office of Radiation Safety
www.uvm.edu/~radsafe/
802-656-2570

Office of Risk Management, Environmental and Laboratory Safety
www.uvm.edu/~esf/
802-656-5400

On-line Training Modules for Responsible Conduct of Research
www.uvm.edu/spa/?Page=responsibleconduct_cititraining.html

Ethics and Compliance Reporting and Help Line
<https://secure.ethicspoint.com/domain/media/en/gui/24544/index.html>



The
UNIVERSITY
of **VERMONT**

PRINCIPAL INVESTIGATOR

QUICK COMPLIANCE GUIDE

July 2011

Requesting and accepting funding for a sponsored project places responsibility on the University and the Principal Investigator to insure that all necessary compliance requirements are met. The information on the following pages is a brief overview of the potential compliance issues affecting you. This guide is designed to provide a quick tool, not thorough information, concerning these topics. Please refer to the resources listed for more information.

Prepared by:
Sponsored Project Administration, your trusted, expert and skilled partner in UVM's research enterprise and for all sponsored project activity.

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802-656-3360
www.uvm.edu/spa/

Allowable costs and financial

oversight: You are responsible for making sure that expenses charged to your project, including salary, are related to the project charged, reasonable, and allowed by the terms of the award. Costs should not be incurred based on funds available, project expiration date, or other inappropriate criteria. For more information about cost allowability contact Sponsored Project Administration (802-656-3360).

Closeout: Sponsors have various requirements for closeout of an award such as final progress, invention and/or equipment reports. Your award document will describe closeout requirements or reference where you can find them. Contact Sponsored Project Administration (8802-656-3360) for any questions.

Conflict of interest: The University's policy entitled *Policy on Related Significant Financial Interest in Research and Scholarly Activity* requires **investigators** to disclose financial interests that are both (1) **significant** and (2) **related to their research**. This policy applies to **all investigators** working on a sponsored project, not only Principal Investigators. More information and disclosure forms are available at the website below:
www.uvm.edu/spa/?Page=conflictofinterest.html

Cost-sharing: Cost-sharing is the commitment of University resources to carry out a funded project. If cost-sharing is committed in a proposal, you are responsible for meeting that commitment. Sponsored Project Administration (802-656-3360) will work with you so that the appropriate accounts are set up to track cost-sharing expenditures.

Effort (time) commitments: Principal Investigators are responsible for providing reasonable estimates of the effort necessary to carry out proposed projects in proposals and meeting those effort commitments in accordance with sponsor regulations. It is your responsibility to make sure that salary distributions of project personnel reflect the actual time spent on projects, that prior approvals for changes in effort are sought if your sponsor requires, and that effort is certified as required by University policy. For more information contact Cost Accounting Services (802-656-1375).

Export control regulations: Export controls, set forth in regulations administered by several federal agencies, impose access, dissemination, and participation restrictions on the transfer or sharing of information about certain armament and dual use items and software code. These regulations also restrict activities with certain countries subject to U.S. Sanctions. Please see www.uvm.edu/~export/ if you think your research may be subject to export controls.

Human subjects research: Before you begin research with human subjects you must present the proposed work in a protocol to the University's Institutional Review Board (IRB) for review and approval. You are responsible for carrying out the project as approved by the IRB, obtaining informed consent, and notifying the IRB of adverse events, among other requirements. The University's human subjects research manual, which contains detailed information, may be viewed at www.uvm.edu/~irb/

Intellectual property: Any inventions arising from funded activities must be disclosed promptly to the Office of Technology Commercialization so that the University may meet its obligations to sponsors. More about the University's intellectual property policy and a disclosure form is available on the University policy website:
www.uvm.edu/~uvmppg/ppg/general_html/intellectualproperty.pdf

Lab safety: Laboratories are special kinds of work-places with many associated hazards. As Principal Investigator you are responsible for understanding any safety requirements for the use, storage, and disposal of materials with which you work. For more information see the University's Risk Management Handbook www.uvm.edu/~riskmgmt/RiskMgmtHndbk.PDF and the Radiation Safety Office website if you are using radioactive materials, www.uvm.edu/~radsafe/

Recombinant DNA and infectious agents: In order to carry out research involving recombinant DNA and/or infectious agents you must submit a protocol describing the work and safety procedures to UVM's Institutional Biosafety Committee (IBC) and arrange for the University's Biosafety Program Coordinator (802-656-63418) to visit your lab. Detailed requirements may be found at www.uvm.edu/~ibc/

Reporting requirements: Most sponsors require progress and final reports about the project as well as financial reports. The Principal Investigator is responsible for any technical/progress reports and SPA is responsible for preparing any invoices and/or financial reports. Reporting requirements are usually described in the award document.