Responsible Conduct of Research

UVM expects investigators to conduct research and report research results in accordance with the highest standards of honesty and integrity. For more resources, as well as to view the UVM’s Policy on Alleged Misconduct in Research and Other Scholarly Activities, see http://www.uvm.edu/policies/grants/researchmisconduct.pdf. Discipline-specific, on-line research ethics training for investigators and their research teams is available on the Collaborative Institutional Training Initiative (CITI) at http://www.uvm.edu/spa/?Page=responsibleconduct_cititraining.html Please call SPA at 802-656-3360 with any questions.

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. Visit the web site at www.uvm.edu/spa/?Page=rolesandresponsibilitie$html Please call SPA at 802-656-3360 with any questions.

Vertebrate Animal Research

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

Resources

UVM’s Institutional Compliance Program
on-line training resources
www.uvm.edu/~complian/Complian/
802-656-3086

UVM’s Institutional Policies Website
www.uvm.edu/policies/

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

Research Protections Office (RPO)
www.uvm.edu/rpo/
802-656-5040

Cost Accounting Services (CAS)
www.uvm.edu/~cntrlrs/cas/
802-656-1375

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

Office of Risk Management
http://www.uvm.edu/~riskmgmt/
802-656-3242

Environmental Health and Safety
www.uvm.edu/safety/
802-656-5400

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

Ethics and Compliance Reporting and Help Line

The UNIVERSITY of VERMONT

PRINCIPAL INVESTIGATOR

QUICK COMPLIANCE GUIDE

July, 2013

Requesting and accepting funding for a sponsored project places responsibility on UVM and on the Principal Investigator to ensure that all necessary compliance requirements are met.

This Quick Compliance Guide provides brief information about potential compliance issues affecting you.

This guide is not designed to provide thorough information on these topics.

Please refer to the resources listed for more information.

Prepared by:
Sponsored Project Administration
217 Waterman Building
802-656-3360

Trusted, expert and skilled partner in UVM’s research enterprise and for all sponsored project activity.
Allowable Costs and Financial Oversight

The Principal Investigator is responsible for making sure that expenses charged to sponsored projects, 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. See UVM’s Cost Policy at http://www.uvm.edu/policies/grants/SponAgree_CostPolicy.pdf or visit the web site at http://www.uvm.edu/~cntlrs/cas/ Please call SPA at 802-656-3360 with any questions.

Effort (Time) Commitments

Principal Investigators are responsible for providing reasonable estimates of the effort necessary to carry out proposed projects in accordance with sponsor regulations. It is the Principal Investigator’s 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 per sponsor requirements, and that effort is certified as required by UVM policy. Please call Cost Accounting Services at 802-656-1375 with any questions or visit their Effort Management and Reporting Compliance web site at http://www.uvm.edu/~cntrlrs/cas/?Page=effort.html&SM=effortmenu.html

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. If you think your research may be subject to export controls, please see www.uvm.edu/~export/ Please call SPA at 802-656-3360 with any questions.

Human Subjects Research

Before you begin research with human subjects, you must present the proposed work in a protocol to UVM’s Institutional Review Board (IRB) for review and approval. The Principal Investigator is responsible for carrying out the project as approved by the IRB, for obtaining informed consent, and for notifying the IRB of adverse events, among other requirements. Detailed information can be found in the UVM human subjects research manual at http://www.uvm.edu/~irb/?Page=education/researchmanualintro.htm

Intellectual Property

Inventions arising from funded activities must be disclosed promptly to UVM’s Office of Technology Commercialization so that UVM may meet its obligations to sponsors. UVM’s intellectual property policy and a disclosure form are on the UVM policy website at http://www.uvm.edu/policies/general.html/intellectualproperty.pdf Please call SPA at 802-656-3360 with any questions.

Lab Safety

Laboratories are special kinds of work-places with many associated hazards. The Principal Investigator is responsible for understanding any safety requirements for the use, storage, and disposal of materials. See UVM’s Risk Management Handbook at www.uvm.edu/~riskmgmt/RiskMgmtHndbk.PDF Or, refer to UVM’s Radiation Safety Office at www.uvm.edu/~radsafe/ if you are using radioactive materials.

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 UVM’s Biosafety Program Coordinator at 802-656-3418 to visit your lab. See http://www.uvm.edu/~ibc/ for requirements.

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. Please call SPA at 802-656-3360 with any questions.