

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 GCAS is responsible for preparing any invoices and/or financial reports. Reporting requirements are usually described in the award document.

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 http://www.uvm.edu/~ospuvvm/?Page=OSP_Main_Menu/PIRCoR.htm

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 <http://www.uvm.edu/iacuc/education/research%20manual/researchmanual.htm>

Resources

For more information and assistance in meeting your compliance requirements.

Many on-line training resources are offered through **UVM's Institutional Compliance Program**
<http://www.uvm.edu/~compliance/?Page=researchcompliance.html>

UVM's Policy Information Site
<http://www.uvm.edu/~uvmppg/ppg/>

Office of Sponsored Programs, Pre-Award Services
<http://www.uvm.edu/osp/>
main campus 656-3360
health sciences 656-4067

Office of Sponsored Programs, Research Protections Office
<http://www.uvm.edu/rpo/>
656-5040

Grant and Contract Administrative Services
<http://www.uvm.edu/~gcaacct/>
656-2986

Office of Radiation Safety
<http://www.uvm.edu/~radsafe/>
656-2570

Office of Risk Management, Environmental and Laboratory Safety
<http://www.uvm.edu/~esf/>
656-5400



PRINCIPAL INVESTIGATOR QUICK COMPLIANCE GUIDE

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 on the back for more information.

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The Office of Sponsored Programs,
340 Waterman Building
656-3360

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 Grant and Contract Administrative Services (GCAS) 62986

Closeout: Sponsors have various requirements for closeout of an award such as final progress reports, invention reports and or equipment reports. Your award document will describe closeout requirements or reference where you can find them. Contact Office of Sponsored Programs Pre-Award Services (63360, 64067) or Grant and Contract Administrative Services (62986) 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 http://www.uvm.edu/~ospvm/?Page=OSP_Main_Menu/UniversityPoliciesRev.htm.

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. Grant and

Contract Administrative Services (62986) 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 Grant and Contract Administrative Services (62986).

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 duel use items and software code. These regulations also restrict activities with certain countries subject to U.S. Sanctions. Please see <http://www.uvm.edu/~uvmppg/ppg/grants/export.pdf> 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 <http://www.uvm.edu/~irb/?Page=education/researchmanualintro.htm>

Intellectual property: Any inventions arising from funded activities must be disclosed promptly to the Office of Sponsored Programs 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: http://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 <http://www.uvm.edu/~riskmgmt/RiskMgmtHndbk.PDF> and the Radiation Safety Office website if you are using radioactive materials, <http://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 (63418) to visit your lab. Detailed requirements may be found at http://www.uvm.edu/~ibc/forms/subm_req.doc