
Division of Safety & Compliance

Chief Safety & Compliance Officer: Mike Schirling
safetycompliance@uvm.edu

CatCard
Emergency Management
Police Services

Compliance Services
Environmental Health & Safety
Risk Management



MENU

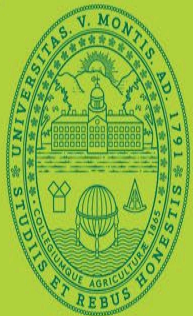
DIVISION OF SAFETY AND COMPLIANCE



The Division of Safety & Compliance is, in partnership with numerous campus partners, charged with providing core public safety functions through police services, emergency management (including fire safety), environmental health & safety, risk management, compliance (including ethics oversight and institutional policies), and the CatCard team (responsible for electronic security access controls).

The University of Vermont Safety and Security Philosophy

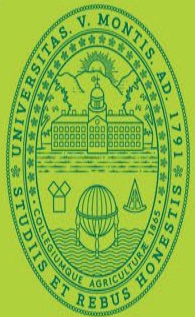
Maintaining a safe and secure campus at which to learn, work, live, and play is of the highest priority for the University of Vermont. UVM's unique position within the community causes it to function much like a small municipality. As such, the University has adopted and continually refines with constituent input the following measures to complement personal preparedness and good common sense.



Who Is Responsible for Safety?

Core Institutional Values Foundational to a Culture of Safety

1. Safety is everyone's responsibility. A safe campus environment is a right of employment for all categories of employees. A safe campus learning environment is a right of all involved in education and research.



Who Is Responsible for Safety?

MENU

UVM RISK MANAGEMENT AND SAFETY

Health and Safety Roles and Responsibilities

Health and Safety Responsibilities: Laboratory Supervisor/LSO

"An individual with primary responsibility for those activities within their research laboratory is a top priority and define roles, responsibilities, authority and accountability for safety within their laboratory."

Work - *Stanford University Advancing Safety Culture in the University Laboratory*

The elimination or reduction of accident-related illness, injury, and property and environmental damage is a cooperative effort and an important one. Only if safety is practiced by all can the university meet these obligations and provide a safe and healthy environment for members of this community.

To successfully achieve UVM's goal of Academic Excellence, individual members of our campus community must understand their roles and accept responsibility as described in UVM policies and plans. These are summarized in the links on this page. Please use the resource of UVM's Safety web-site to increase your personal awareness and

• University Safety Committees

• Roles & Responsibilities

University of Vermont Goals

[To] realize our vision to be among the



MENU

DIVISION OF SAFETY AND COMPLIANCE



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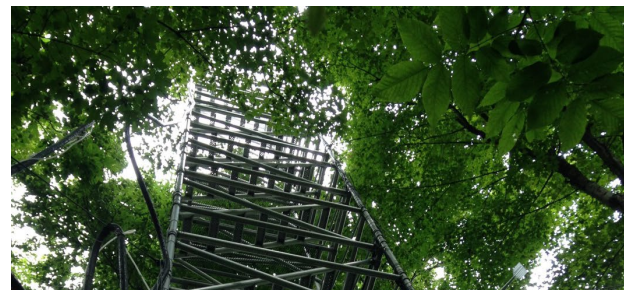
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RAMP





UVM COSTA RICA SEMESTER ABROAD

Info Sessions!

4/11 – Aiken 103; 7-8 pm ET
4/18 – Aiken 103; 7-8 pm ET
4/25 – Aiken 202; 7-8 pm ET

To Apply:
[go.uvm.edu/
uvmcostarica](http://go.uvm.edu/uvmcostarica)

Use UVM
Financial Aid

18 UVM Credits

Available to ALL
MAJORS

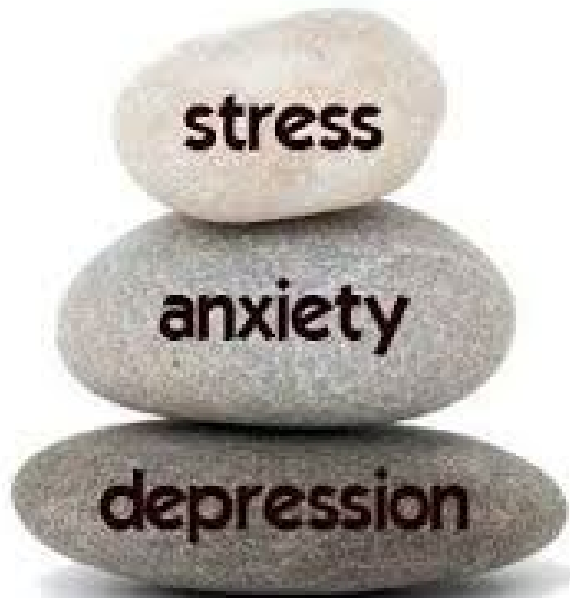


RAMP

1. Recognize Hazards
 - Laboratory Research
 - Field Research
 - Lake Research – RV
Marcelle Melosira
 - International travel with
or without students

Faculty May Become Student Government Association (SGA) Club Advisors





RAMP

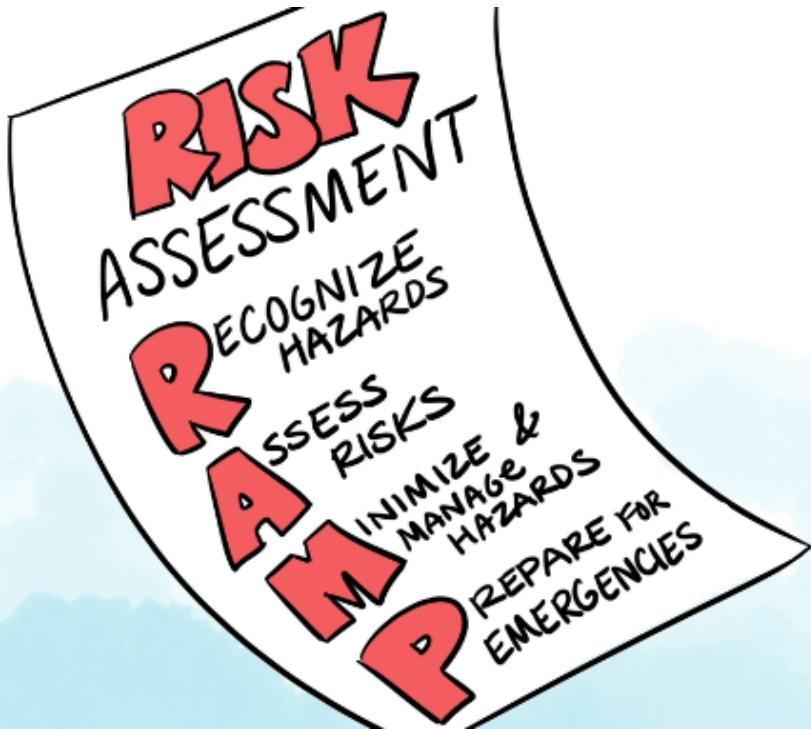
1. Recognize Hazards
Changing & Emerging



RAMP

1. Recognize Hazards

Why take Risks?



Faculty do **RISKY** things!

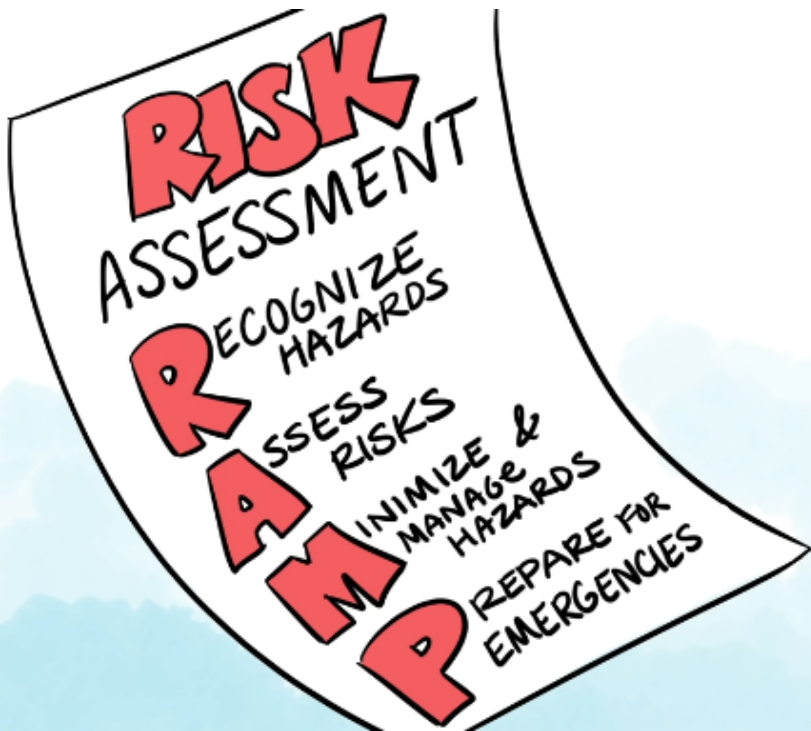
RAMP

1. Recognize Hazards

2. Assess Risks

Risk = Consequence x Likelihood

		1	2	3	4	5	6
3	Very Likely or Happening	3	6	9	12	15	18
2	Near misses or Few safeguards	2	4	6	8	10	12
1	Reasonably anticipated	1	2	3	4	5	6
		Minor or negligible disruption	Very short-term disruption	Single and recoverable	Multiple & recoverable	Long-term or permanent	Multiple permanent impacts

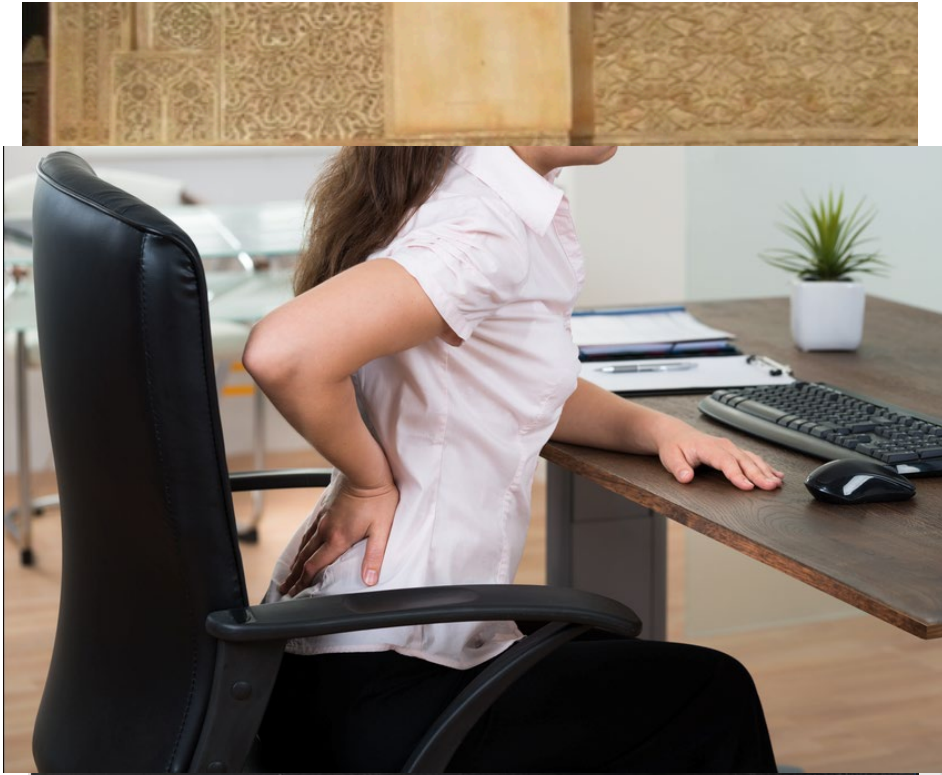


RAMP

1. Recognize Hazards
2. Assess Risks
3. Manage Risks
 1. Ensure Safety
 2. Assure Compliance
 3. Insure Losses

Risk Management Department Risk.Management@uvm.edu

- Insurance: Property, General Liability, Educators Legal Liability, Cyber loss, and other liability
- Indemnity Policy
- Travel & International SOS
- Protecting Minors
- Motor Vehicle Insurance and Driver Certification (all driver of UVM owned or rented vehicles)
- Worker Compensation & Employee Injuries AND ERGONOMIC ASSESSMENTS



Travel Accid

SOS

ID CERTIFICATION

Office of Compliance Services

compliance@uvm.edu



The University of Vermont

Statement V. 1

Responsible Official: President

Effective Date: February 4, 2012

Statement of Commitment and Expectations in the Workplace

Reason for this Statement

This Statement of Commitment and Expectations ("Statement") reiterates and reinforces the dedication of the University to compliance with the policies and laws that govern the institution and the values and the principles embodied in *Our Common Ground*. This Statement also identifies how *Our Common Ground* is relevant to the workplace.

Applicability

Ethics

Conflict of Interest

UVM Policies

Privacy, FERPA, HIPPA

Government Oversight

www.uvm.edu/safety

Environmental Health & Safety (EHS)

safety@uvm.edu

Environmental Health and Safety



At UVM, safety is a partnership and a shared responsibility, requiring the active involvement of people in all departments and positions. Whether you work in or use a laboratory, art studio, or an outdoor location off-site - our goal is to help you be as safe as possible.

Core Institutional Values Foundational to a Culture of Safety

1. Safety is everyone's responsibility. A safe campus environment is a right of employment for all categories of employees. A safe campus learning environment is a right of all involved in education and research.
2. Good science is safe science. Safety is a critical component of scholarly excellence and responsible conduct of research.
3. Safety training and safety education are essential elements of research and education. They instill a culture of safety in the next generation of researchers and future faculty, and they are important for our students' career development and employability.
4. An improved culture of safety is necessary to truly reduce risk throughout the academic enterprise.
5. It is best to recognize that diverse methods and flexible approaches will be used by each institution to develop a strong culture of safety, unique to its situation.

[APLU Produces Guide to Implementing Safety Culture \(PDF\)](#)

FIRE AND LIFE SAFETY

SAFETY IN THE LABORATORIES

SAFETY IN WORKSHOPS AND MACHINE SHOPS

SAFETY IN THE ARTS AND THEATRE

SAFETY FOR FIELD WORK AND FARM OPERATIONS

CAMPUS AND WORKPLACE SAFETY

TRAINING & COMPLIANCE

WASTE DISPOSAL AND MANAGEMENT

Quick Links

[Chemical Spill Response](#)



Chris Walker
Occupational
Safety Program
Mgr



Sean Bird
Occupational
Safety

Occupational Health & Safety (EHS)

safety@uvm.edu

Work with you to:

- Assess the risks of jobs and tasks across campus.
- Identify work practices, training, and equipment to minimize those risks.
- Establish safety programs to comply with OSHA and other regulations



Kari Paritz
Occupational Health

Occupational Health & Safety (EHS)

safety@uvm.edu

ON LADDERS

**KEEP
THREE
POINTS
OF
CONTACT
AT ALL
TIMES**



Ref No - LADS742

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Fall Protection and Ladder Safety Training
Water Intrusion Responder
Respiratory Protection and Fit/Tests
Protection and Evacuation
Mediation

Research & Laboratory Safety (EHS)

safety@uvm.edu

UVM Labs and Research involves many hazards

- Chemicals
- Biological agents
- Radiation
- Animals (large and small)
- Field Hazards
- Electricity & Batteries
- More



Research & Laboratory Safety (EHS)

safety@uvm.edu

UVM's Lab Safety Team

- Recognize the hazards in your lab or activity
- Assess the risks
- Identify work practices, training, and equipment to minimize those risks.
- Establish safety programs to comply with OSHA and other regulations



Tom Kellogg
Lab Safety Program
Radiation Safety Officer
Laser Safety Officer

Vikki Halsey
CAS & RESNR



Michelle Dipinto
CEMS & CALS



Sonia Godoy-
Michelle Dipinto
Biosafety Officer
LCOM

Safety in The Laboratories



1. Register The Laboratory

Lab Supervisors must register their labs online. This means completing a personnel roster and inventory of the hazards present. This ensures that emergency responders can identify the emergency contacts and hazards in your lab(s). Update this information at a minimum of every 6 months or as hazards or personnel change. Supervisors may designate a Lab Safety Officer to maintain this registration.

2. Identify Hazards and Assess & Control Hazards

Hazards in the lab must be identified by the supervisor (or someone delegated by the supervisor), and everyone must understand the hazards of what they will be using. Document how the hazards will be controlled using engineering controls, administrative controls, and personal protective equipment. Tools to help with

20207 Laboratory Safety Monthly Self-Inspections

The self-inspection is an integral part of UVM's Laboratory Safety Plan and follows UVM's Policy for Laboratory Health & Safety www.uvm.edu/safety/policy.

LAB INFORMATION

Building: Delehanty Room(s): 401
 Laboratory Supervisor: Dr. Smith
 Laboratory Safety Officer: Jane Adams

Directions:

- In January, complete LAB INFORMATION above.
- Once per calendar month, compare operations in your lab(s) with each item in the checklist.
 - If your lab is in compliance with the item, check it off for that month.
 - If your lab is not in compliance, remedy the situation immediately. If that is not possible, note the discrepancy in the NOTES section below, and update that note when the issue is resolved.
 - If a checklist item does not apply to your lab operations, check NA (Not Applicable).
 - Record the date of the oldest container of chemical waste in Section 5.
- At least every six months, update the online lab registry as described in Section 1, and record those dates.
- Once per year, complete the ANNUAL TASKS below.
- Keep this checklist handy and obvious in your lab or lab safety notebook.
- If your lab is going to be dormant for a few months (field work, sabbatical, leave, etc.) contact your Lab Safety Coordinator to arrange for temporary reduction in inspection requirements.

NOTES

DATE	DISCREPANCY	RESOLUTION (with date)
1/5/17	waste > 6 months old	tagged for pickup 1/6/17

ANNUAL TASKS

www.uvm.edu/safety/lab/

Date Completed

Please complete these items annually:

7/17/17
 8/2/17
 NA
 8/2/17

- Annual Refresher training (required for every lab worker unless new this year)
- Defrost freezers and refrigerators - control the defrost water
- Label samples for archival storage if appropriate
- Review lab chemicals and relabel or purge as appropriate.

Safety in The Laboratories

Research & Laboratory Safety (EHS)

safety@uvm.edu

- + Research Management
- + Inspections
- + Churchill Office
 - Given Bunker
 - » View Lab Profile
 - » ChemTracker
 - » Compliance Dashboard
 - » Manage Members
 - » Send Lab Message
 - » View Lab Spaces
 - » Medical Surveillance
 - » Self Inspections
 - » Manage Lab Forms
- + ChemTracker
- + Medical Surveillance
- + Rad Management
- Research Tools

Welcome to SciShield

Announcements

06/13/2023: [ChemTracker is back up and running!](#)
ChemTracker is now available for inventory adding and editing.

05/25/2023: [Scheduled Maintenance](#)
Please be advised that there will be scheduled maintenance for the ChemTracker Module of SciShie...
[\[more\]](#)

03/17/2023: [Biowaste Reminder](#)
Please remember that biowaste boxes are no longer brought to the Given loading dock but to 245C ... [\[more\]](#)

03/16/2023: [Fisher Scientific UVM Vendor Sho...](#)
On Friday, March 17th, Fisher Scientific is hosting a vendor show from 10:00 am to 1:00 pm in Ro... [\[more\]](#)


[View All Announcements](#) [Add Announcement](#)

Messages

05/09/2023	Lab Inspection Report - 05/09/2023
04/10/2023	Laboratory Inspection Report - F...
04/02/2023	Laboratory Inspection Report - F...
03/27/2023	Laboratory Inspection Report - F...

[View Entire Inbox](#)

Compliance Summary for

Churchill Office Radiological: 

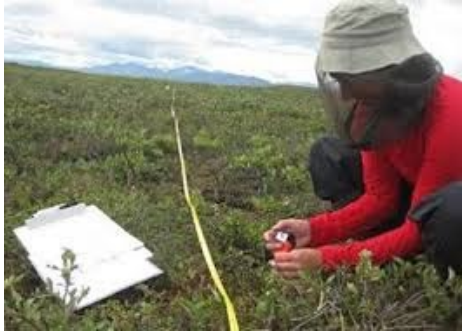
Equipment:

[View Dashboard](#)

SDS Search

Chemical Name or CAS Number:

Field Research and Trips



Research & Laboratory Safety (EHS)

safety@uvm.edu



Safety for Field Work and Farm Operations

The Department of Risk Management and Safety works in partnership with individuals and groups both on and off-campus to assess the risks of farm and field activities in order to ensure that work is performed using proper controls and best safety practices.

Safety for Field Trips and Outdoor Research

OUTDOOR HAZARDS ▾

FIELD WORK/TRIP GUIDELINES ▾

TRANSPORTATION ▾

Review the Farm Safety Program for specific outdoor research locations

UVM's Miller Research and Education Complex (MREC), Horticulture Research and Education Center (HREC) and Morgan Horse Farm come with unique safety hazards unlike those in a typical indoor research lab environment. Additionally, Jericho Research Forest and Proctor Maple Research Center are other off campus facilities where both outdoor and indoor research is conducted.

Click the button below to review farm safety topics.

FARM SAFETY

FIRE AND LIFE SAFETY

SAFETY IN LABORATORIES

SAFETY IN WORKSHOPS AND MACHINE SHOPS

SAFETY IN THE ARTS AND THEATRE

SAFETY FOR FIELD WORK AND FARM OPERATIONS

CAMPUS AND WORKPLACE SAFETY

WASTE DISPOSAL AND MANAGEMENT

Quick Links

- [Safety Roles and Responsibilities](#)
- [Travel Safety website](#)
- [Field Trip: Acknowledgement of Risk Form](#)
- [Driver Training & Certification](#)
- [Health & Safety Plan: Template for Field Work \(updated 2/2023\)](#)
- [Personal Protective Equipment](#)
- [Report An Incident or Accident](#)
- [CDC's "Hazards for Outdoor Workers"](#)

- Create a Health & Safety Plan
 - Acknowledgement of Risk Forms
 - Liability Waivers
 - Consent to Treat
- EHS is available to review and make safety recommendations.

We Manage All UVM Regulated Hazardous Waste

**Environmental
Compliance (EHS)**
waste@uvm.edu

Environmental Safety Facility, Bioresearch Area on Spear St.



Main Campus Accumulation Area



Regulated Hazardous Waste Management continued...

Even if you don't work in a research lab, you might generate hazardous waste!

Email us at waste@uvm.edu



Aerosol cans



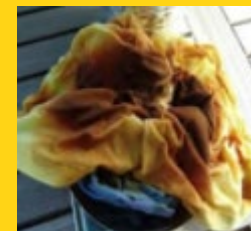
Paint or Paint supplies



Broken bulbs



Glycols (antifreeze)



Oil or oily debris

Please do not bring in these wastes from your home.

Spill Response

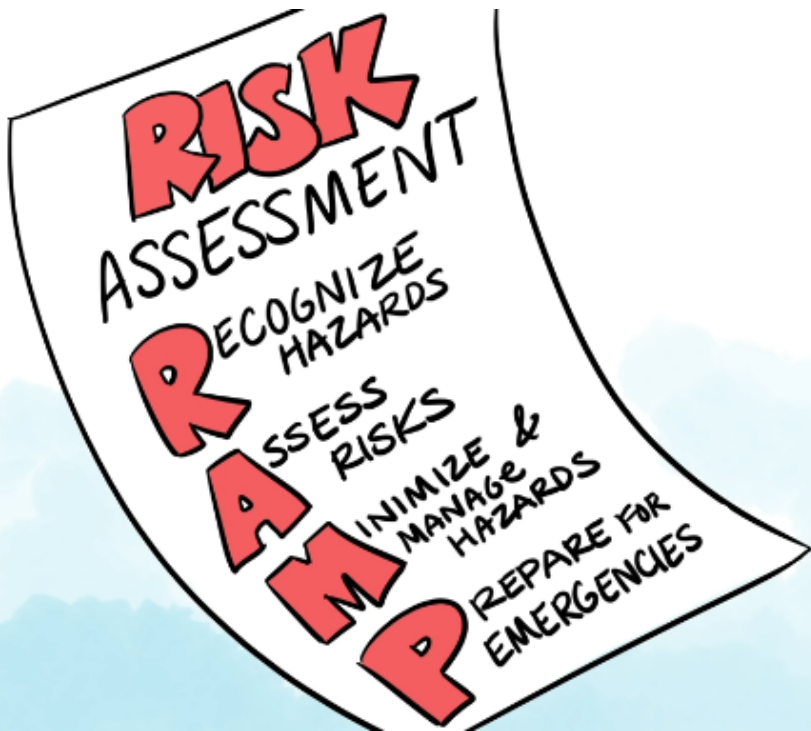
Environmental Compliance (EHS)

waste@uvm.edu



February 2014 – Number 6 Oil Spill

Chemical
Lab Clean



RAMP

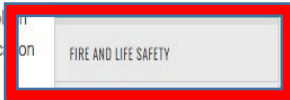
1. Recognize Hazards
2. Assess Risks
3. Manage Risks
4. Prepare for Emergencies



Environmental Health and Safety



At UVM, safety is a partnership and a shared responsibility, requiring the active involvement of people in all departments and positions. Whether you work in or use a laboratory, art studio, or an outdoor location on or off-site - our goal is to help you be as safe as possible.



- FIRE AND LIFE SAFETY
- SAFETY IN THE LABORATORIES
- SAFETY IN WORKSHOPS AND MACHINE SHOPS
- SAFETY IN THE ARTS AND THEATRE
- SAFETY FOR FIELD WORK AND FARM OPERATIONS
- CAMPUS AND WORKPLACE SAFETY
- WASTE DISPOSAL AND MANAGEMENT

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[APLU Produces Guide to Implementing Safety Culture \(PDF\)](#)

Quick Links

- [Chemical Spill Response](#)
- [Driver Training and Certification](#)
- [Reporting Incidents and Concerns](#)
- [Roles and Responsibilities](#)
- [Safety Policies and Plans](#)

Fire & Life Safety

fire@uvm.edu

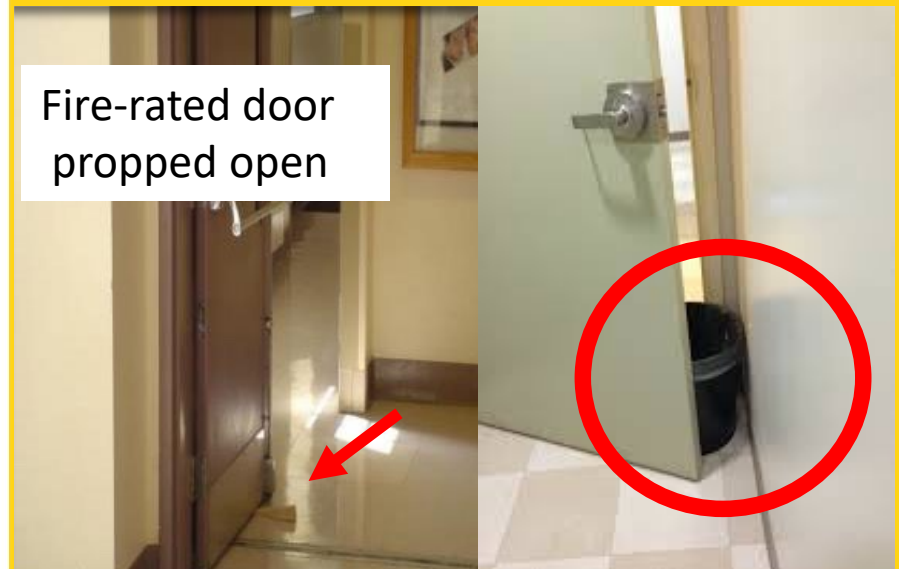


Attend a fire extinguisher training course
Or
You can request a training for your department.

Common Fire Code Violations



Fire & Life Safety
fire@uvm.edu



Fire-rated door
propped open

Excessive Combustibles



UVM EMERGENCY PROCEDURES

Call 911 | UVM Police 802-656-3473



Active Threats

RUN...

• If safe to do so, move quickly away from the scene.

HIDE...

• If not safe to move, hide as best you can, locking and barricading doors.

FIGHT...

• As a last resort, try to disrupt or incapacitate the threat.

CALL 911

• Provide location & threat. If hiding, await a CatAlert "All Clear" message.



Fire

- Activate the nearest fire alarm and exit the building
- Call 911 providing specific details about the nature of the fire
- Do not use elevators when evacuating
- Take keys, CATCard, wallet, cell phone and close doors behind you (similar to leaving for the day)
- Gather at designated place and do not re-enter until authorized



Hazardous Materials (Chemical, Biological or Radiological)

- Move away from a spill to a safe location, alerting others and closing doors behind you
- If possible, without endangering others shut off any ignition source
- If exposed, utilize eye wash/deluge shower to minimize health risks
- If someone could be in danger, Call 911 or activate building fire alarm for evacuation
- Call 802-656-2560 for EHS response and spill clean-up • Wait in a safe location to meet with responders



Severe Weather

- If possible, shut all windows and doors • Seek shelter away from exterior doors & windows
- Do not go outside during thunder or windstorms until the storm has passed
- Be aware of downed wires and falling objects
- Report emergencies Call 911
- Extreme heat and cold can be very dangerous, dress appropriately and be aware of changing weather conditions



Power Failure

- Turn off computers and other voltage-sensitive equipment
- If possible, move cautiously to a lit area
- Use flashlight or cell phone to light your room or workspace
- For localized outages, contact UVM Physical Plant at 802-656-2560
- For information about a prolonged outage, check the UVM Emergency website



Suspicious Package Or Bomb Threat

- Do not touch or disturb object
- Provide as much information as possible about threat or object
- Notify your supervisor or advisor
- Be prepared to evacuate, if so directed
- If told to evacuate, look around for anything suspicious and report to authorities



If Told To Evacuate (Except in case of Active Threats)

- Move calmly to exits, do not run or push
- Be aware some exits may be unusable due to smoke or danger
- Follow instructions from staff or emergency personnel
- Alert emergency personnel if someone needs help evacuating
- Take keys, CATCard, wallet, cell phone and close doors behind you (similar to leaving for the day)



If Told To Shelter In Place

- Get indoors • Shut lock and then stay away from all doors and windows
- Barricade doors that don't lock, if so directed and turn off light
- Turn off air conditioners, fans, and heaters
- Stay inside until informed that it is safe to go outside
- Follow instructions from staff or emergency personnel • Await a CatAlert "All Clear" message



Medical Emergencies and Serious Workplace Accidents

- Call 911 to request Emergency Medical Services
- If the person is not breathing begin CPR (if trained to do so)
- If there is active bleeding assist the injured in providing first aid pressure while avoiding direct contact with blood or bodily fluids • Keep the individual calm and send someone to guide Rescue personnel
- When Rescue arrives, relay what you know about the person and injury



Unifire @np.us Reporting

- Campus safety is enhanced when community members identify and report issues of all types, including behavior of concern, in a caring and timely manner. Early identification of concerns enables early intervention to address issues, risks, and behaviors that are threatening or disruptive to the learning, living, and working environment.
- Reporting options: Call 911 | within CATSafe (LiveSafe app) | online at uvm.edu/report

Sign up for CATAlerts
uvm.edu/catalert

Sign up for Vermont State Alerts
vts.vermont.gov/vtalert

THE UNIVERSITY OF VERMONT
SAFETY & COMPLIANCE

Sexual Violence Support & Advocacy
802-863-1236 | uvm.edu/sexualviolence

Download CATSafe: uvm.edu/livesafe
powered by LiveSafe

Emergency Management

<https://www.uvm.edu/emergency>

Important Numbers

- Emergency: 911
- UVM Police: 911 (emergency)
(802)656-3473 (FIRE)
- Service Operations Support/SOS:
(802)656-2560



Unified Campus Reporting

uvm.edu/report

See something, Say something

Report because you **CARE**

Early identification of concerns enables early intervention to more effectively address issues.

Reporting reduces risks and behaviors that are threatening or significantly disruptive to the learning, living, and working environment.



Emergency Call / Virtual Blue Light

Call or message for EMERGENCY help wherever you are



Crisis Response

24/7 hotlines if you or someone else is experiencing mental health issues or sexual violence



SafeWalk

CATSafe (*LiveSafe App*)

<https://www.uvm.edu/emergency>

UVMs two-way communication platform and safety tool kit (Virtual Blue Light*).

- Report an emergency or incident
 - with pictures/videos
 - Can be anonymous
- SafeWalk (peer-to-peer virtual escort)
- Receive emergency related communications
- Access safety & emergency resources

Go to Emergency Mgt page for download

**Blue Lights are being replaced by CATSafe.*



UVM Rescue is a state licensed Advanced Life Support (ALS) ambulance service staffed 24 hours a day, 365 days a year by UVM students and alumni.

CatAlert

<https://www.uvm.edu/emergency>

CatAlert's goal is to keep UVM's community informed and updated during emergency situations by providing timely actionable information through a variety of modes:

- Text message
- Phone Call
- Email
- Digital Displays on Campus

Register in PeSo and on your personal device (see Emergency Mgt website)



UVM Rescue is a state licensed Advanced Life Support (ALS) ambulance service staffed 24 hours a day, 365 days a year by UVM students and alumni.

Cat ECare

Cat ECare program consists of lifesaving equipment at **AED** stations distributed around campus.

- **Automated External Defibrillators** (AEDs)
- **Bleeding control kits**
- **Narcan®** (Nasal opioid overdose treatment)

The program includes comprehensive training in CPR/AED use, bleeding control and Narcan.

See CatSafe for a map of **AED** locations.

<https://www.uvm.edu/emergency>

Contact Information

fire@uvm.edu

safety@uvm.edu

waste@uvm.edu

compliance@uvm.edu

Risk.Management@uvm.edu

Things To Do Next

1. Locate your Building Evacuation Map & Routes, and Fire Extinguisher.
2. Review UVM's Policies Page (at least the titles).
3. Identify risks that may apply to your work and activities (hazardous materials, travel, minors, supervising drivers, using equipment, etc.).
4. Install CatSafe/Livesafe App
5. Buy new shoes.
6. Contact us and Have Fun!

Thank you for your time and attention!

2023 New Faculty Orientation:

**Administrative Support for
Research and Scholarship**

Presented by

Brian Prindle

Executive Director,
Research Administration
and Integrity



The University of Vermont

Research Administration and Integrity

<https://www.uvm.edu/ovpr/research-administration>



The business of conducting research and scholarship can be complicated. Research Administration is here to help facilitate those complications. We will simplify, assist and get it done leaving our faculty, staff, and students to the business of discovery, innovation, and impact.

RESEARCH PROTECTIONS OFFICE

- Humans
- Animals
- Biosafety
- RPO News

ELECTRONIC RESEARCH SYSTEMS

- UVMClick Technical Support

SPONSORED PROJECT ADMINISTRATION

- Proposals and Awards
- Subawards
- Closeouts
- SPA News

RESEARCH ADMINISTRATION OVERVIEW (PDF)

RESEARCH INTEGRITY

- FCOI
- Export Controls
- Controlled Unclassified Information (CUI)
- Section 117 Foreign Gift/Contract Reporting
- RCR Training

IMAGE SOURCE: NASA ON THE COMMONS

@UVMVERMONT

@UVMINNOVATIONS



UVMClick, our electronic portal where investigators and staff connect to accomplish the business of research administration and compliance.

1. OFFICE OF THE EXECUTIVE DIRECTOR

2. SPONSORED PROJECT ADMINISTRATION

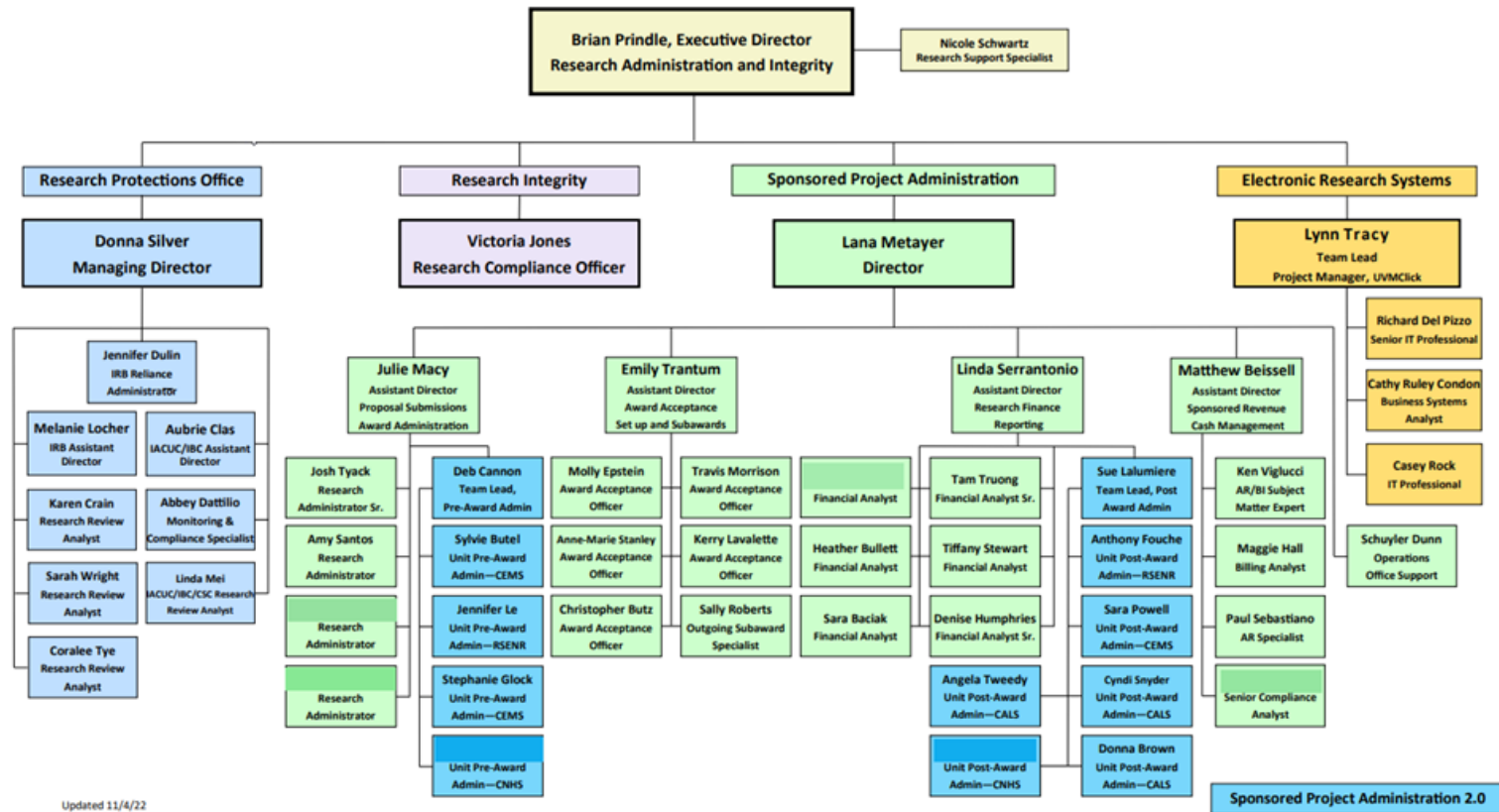
3. RESEARCH PROTECTIONS OFFICE

4. RESEARCH COMPLIANCE & INTEGRITY

5. ELECTRONIC RESEARCH SYSTEMS



Research Administration and Integrity



Research Administration and Integrity

FY23 Research by the Numbers



PRINCIPAL
INVESTIGATORS



PROPOSALS
SUBMITTED



AWARDS
ACCEPTED



ACTIVE
PROJECTS



TOTAL AWARD
AMOUNT



FY22 HERD RESEARCH
EXPENDITURES



← Team Effort →

• PI

• Department

• College

• Central

- Find Funding
- Apply
- Win
- Project Execution
- Reporting
- Compliance

- Research Administration Staff

- Research Administration Staff

- Sponsored Projects
- Research Protections
- Conflict of Interest
- Effort Reporting
- Purchasing
- Disbursements

SPA 2.0 Dept Pre & Post Research Administration

Taking Care of Business Makes for a Happy PI, Staff and SPONSOR

Research Administration and Integrity

1



UVM's electronic Research Administration System

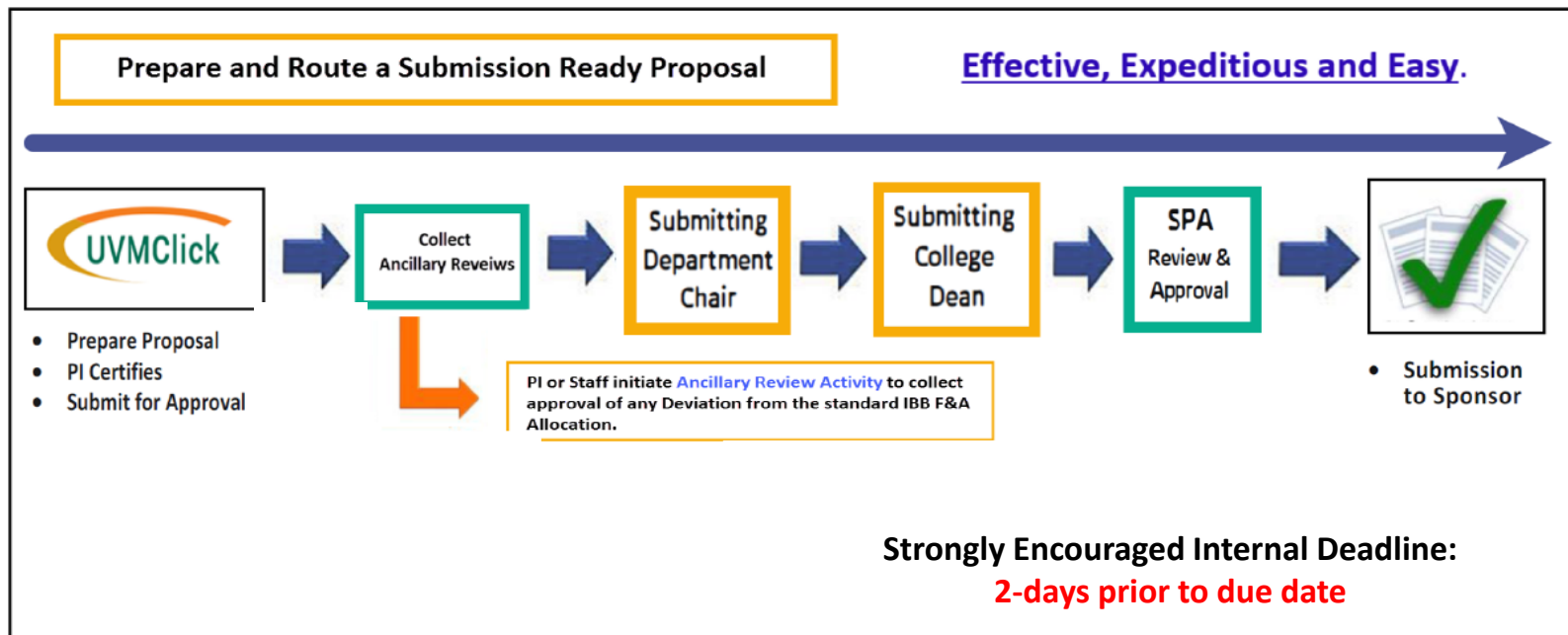
UVMClick is where UVM researchers and administrators conduct business

- IRB Protocols
- IACUC Protocols
- Biosafety Registrations
- Proposal Submissions
- Awards (Grants Contracts)
- Award Modifications
- Integration to PeopleSoft
- COI Disclosures
- no Money Agreements

Research Administration and Integrity

2

UVMClick - Prepare and Submit



Research Administration and Integrity

3

PI Portal

On-line Banking for Grants

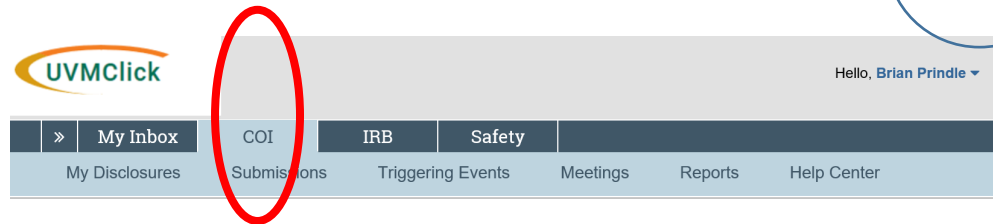
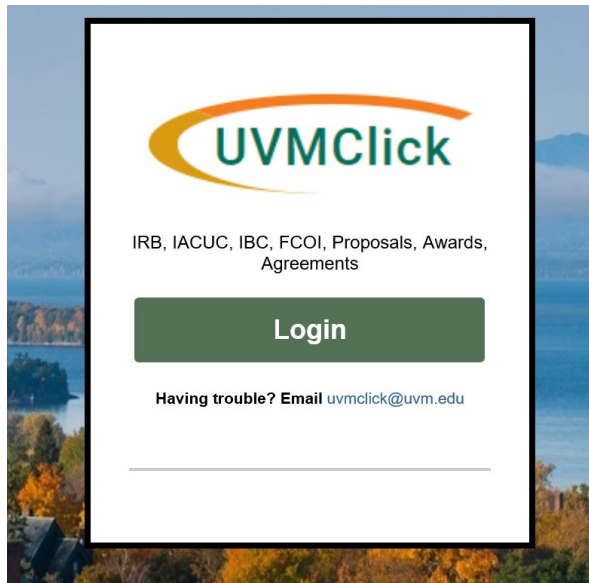
Your Gateway to PI Friendly Sponsored
Project Expenditure Reports

Web Based
Intuitive-Quick-Easy

- Data Refreshed Nightly
- Project Expenditures
- Payroll Expenditures
- Payroll Distributions
- Non-Payroll Expenditures
- Time Commitments

Research Administration and Integrity

4



Homework

Complete your first annual FCOI Disclosure

Complete the FCOI Training



5

Welcome and Good Luck

Thank You

- **Find Funding**
- **Apply**
- **Win**
- **Do Research**
- **Be Great Stewards**



The University of Vermont

**2023 New Faculty
Orientation:
Sponsored Project
Administration at UVM**

Presented by

Julie Macy

Assistant Director, Proposal
Submission & Award
Administration

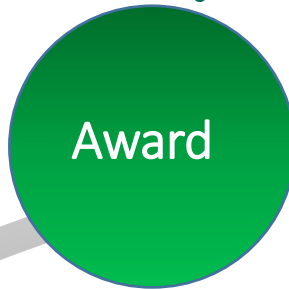


The University of Vermont

What Is A Sponsored Project?

- Externally-funded activity in which a formal written agreement, i.e., a grant, contract, or cooperative agreement, is entered into by recipient (UVM) and Sponsor (e.g. federal, state, other universities, industry)
- Supports research, public service, or instructional efforts

UVM Sponsored Project Life Cycle



- Award receipt
- Award acceptance
- Set up notification
- Subawards issuance



- Scope performed
- Budget revisions
- Budget projections
- Project changes

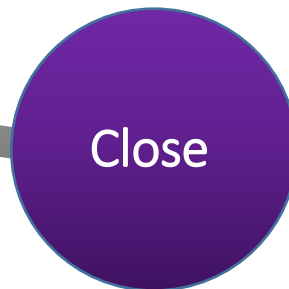


- Find opportunities
- Grant Writing
- Application forms
- Budget development
- Proposal routing
- Submission

UVM Research
Community



- Technical reports
- Effort & cost sharing
- Acct. payable (subs)

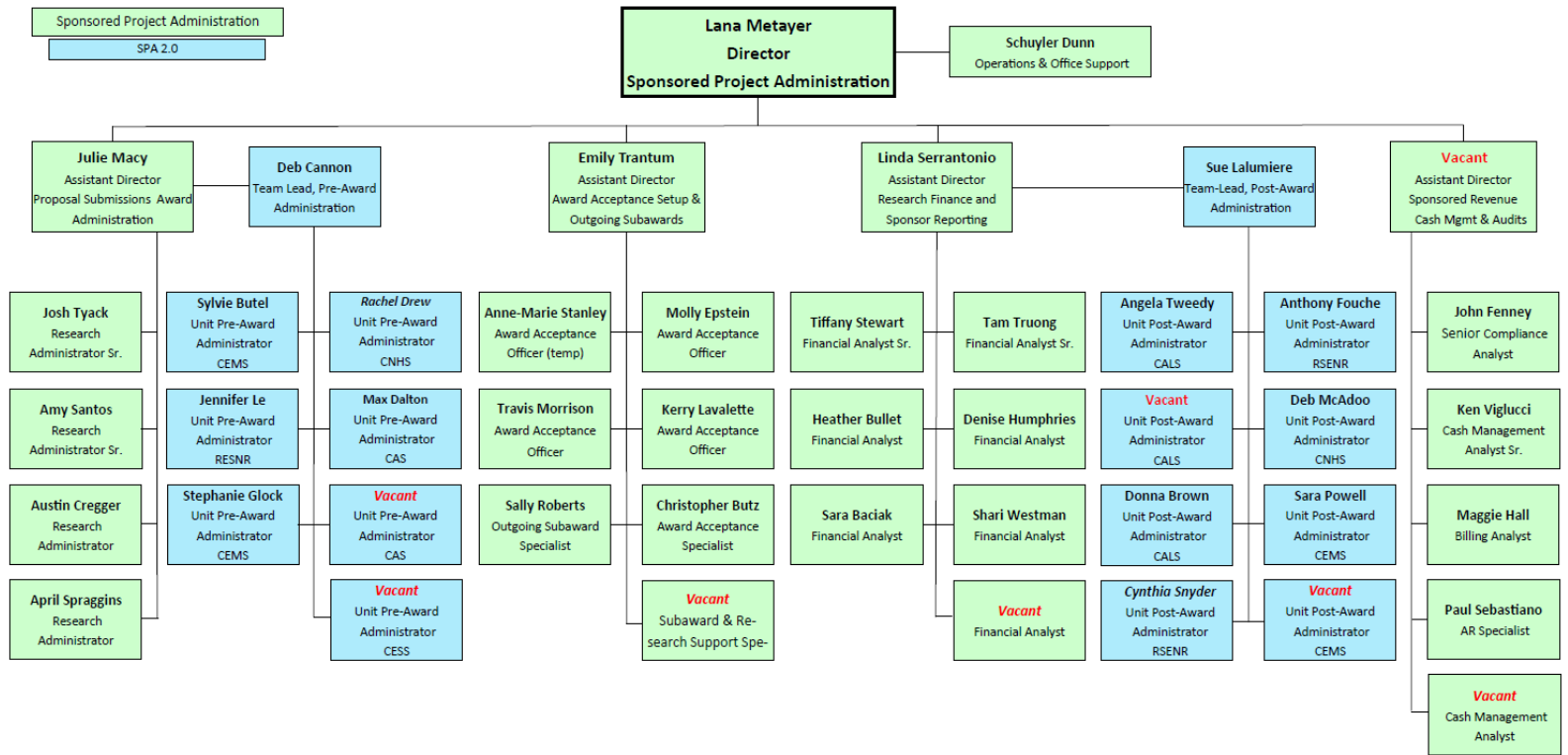


- Budget closeout
- Final project, and property reports
- Patent report

UVM Research Community

- **300+** Active Principal Investigators
- **100+** Departments with Sponsored Projects
- Projects from **300+** Sponsors
- **\$230M+** annual volume of awards

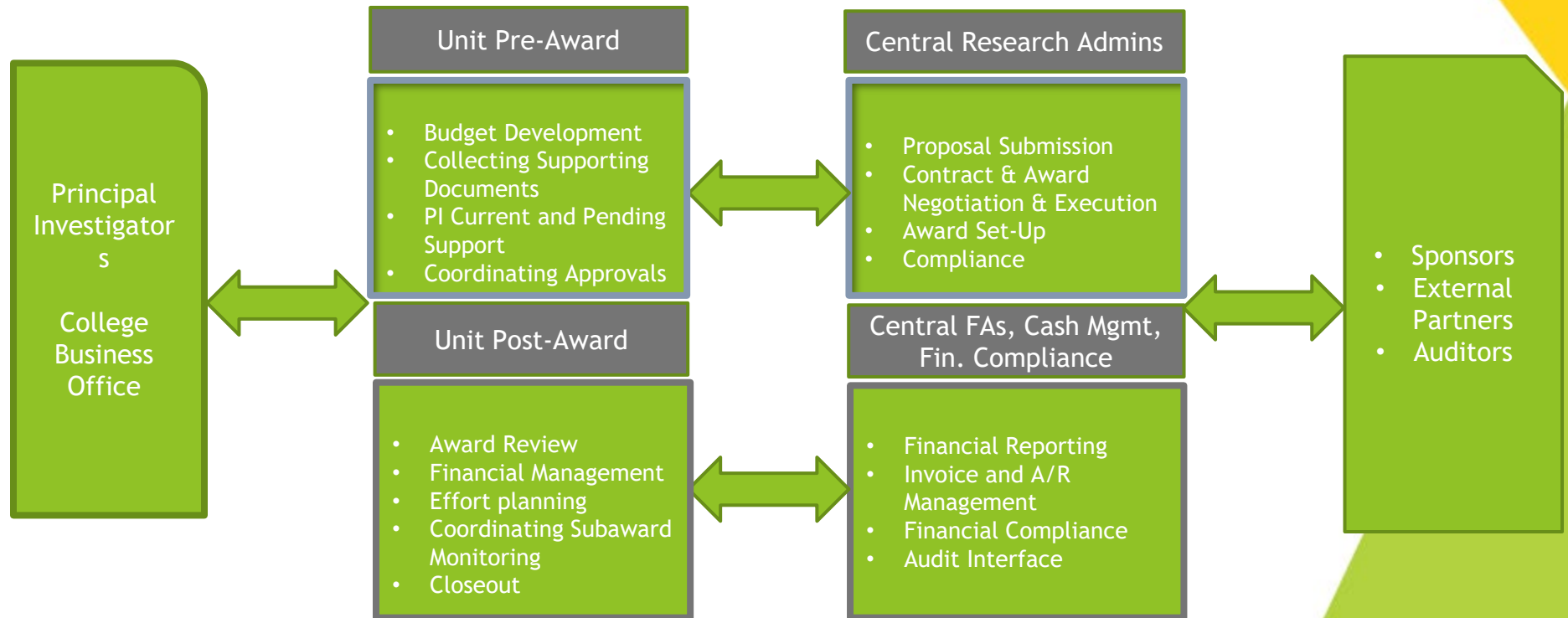
SPA Organizational Chart



Individual Roles and Common Goals of Administrators

- **Central Office (SPA):** facilitates the submission of proposals, the review and negotiation of sponsored research agreements, financial reporting, and houses the signatory officials for sponsored projects at the university
- **Department Administrators:** serve the faculty on a more individual and personal level and act as a liaison between the faculty and the central office
- **Common Goal:** to provide a full range of assistance to faculty in obtaining, administering, and managing funding to support creative and scholarly activities

SPA 2.0 – Transforming Sponsored Project Administration



Systems for Managing Sponsored Projects

UVMClick

- Proposal Development is used by Principle Investigators (PIs) to
 - Initiate proposal in UVMClick
 - Prepare budgets
 - Upload proposal documents
 - Route proposals for internal approvals
 - System-to-system proposal submissions
- Proposal Tracking is used by the PI & business unit administrators to
 - Track & report – current & pending support data
 - Storage of finalized documents relating to proposals, awards and subawards

Systems for Managing Sponsored Projects Continued



- UVM's electronic research administration and compliance system where Principal Investigators and staff manage the lifecycle of
 - IRB Protocols
 - IACUC Protocols
 - IBC Protocols
 - Conflict of Interest Disclosures
 - Proposal Submission
 - Award Management
 - Agreements

Systems for Managing Sponsored Projects Continued

PeopleSoft

- System of record for financial & human resources data
- Source of internal control
 - Budget limited to the awarded amount
 - Only approved categories set up
 - Exceptions highlighted
- Used for
 - Accounting & tracking expenses based on chartstring
 - Reporting of these expenses using various tools

SPA EDU 23/24 School Year Fall Sessions

UVMClick – New Proposals / September

Introduction to Sponsored Project Administration / September

Budget Building for Proposal Development / October

Reviewing and Understanding Sponsored Agreements / November

Proposal Submissions to NSF / November

Cost Transfers on Sponsored Projects / November

Cost Sharing on Sponsored Projects / December

SPA Resources

SPA Website – www.uvm.edu/spa

- Find Funding
- Develop Proposal
- Prepare and Submit Proposals
- Accept Award
- Manage Award
- Outgoing Subwards
- Resources – SPA Procedures and A-Z Topics

SPA Resources

Whom to Contact for What:

- Proposal Submission and Award Administration
 - [SPA Research Administrator](#)/Assigned by Department
- Award Acceptance Setup and Outgoing Subwards
 - SPA Award Officer/Assigned in UVMClick at time of in-take
 - SPA Subaward Specialist/Sally Roberts
- Research Finance and Sponsor Reporting
 - [SPA Financial Analyst](#)/ Assigned by Department
- Sponsor Revenue Cash Management and Audits

Sponsored Project Administration Welcomes You!



Welcome to
Sponsored Project
Administration

Providing administrative and fiscal support and cash management oversight for the University's proposing, accepting and managing sponsored projects, and ensuring compliance with associated financial and public policy requirements.

WELCOME

Research Development



Jeralyn Haraldsen, PhD

Director

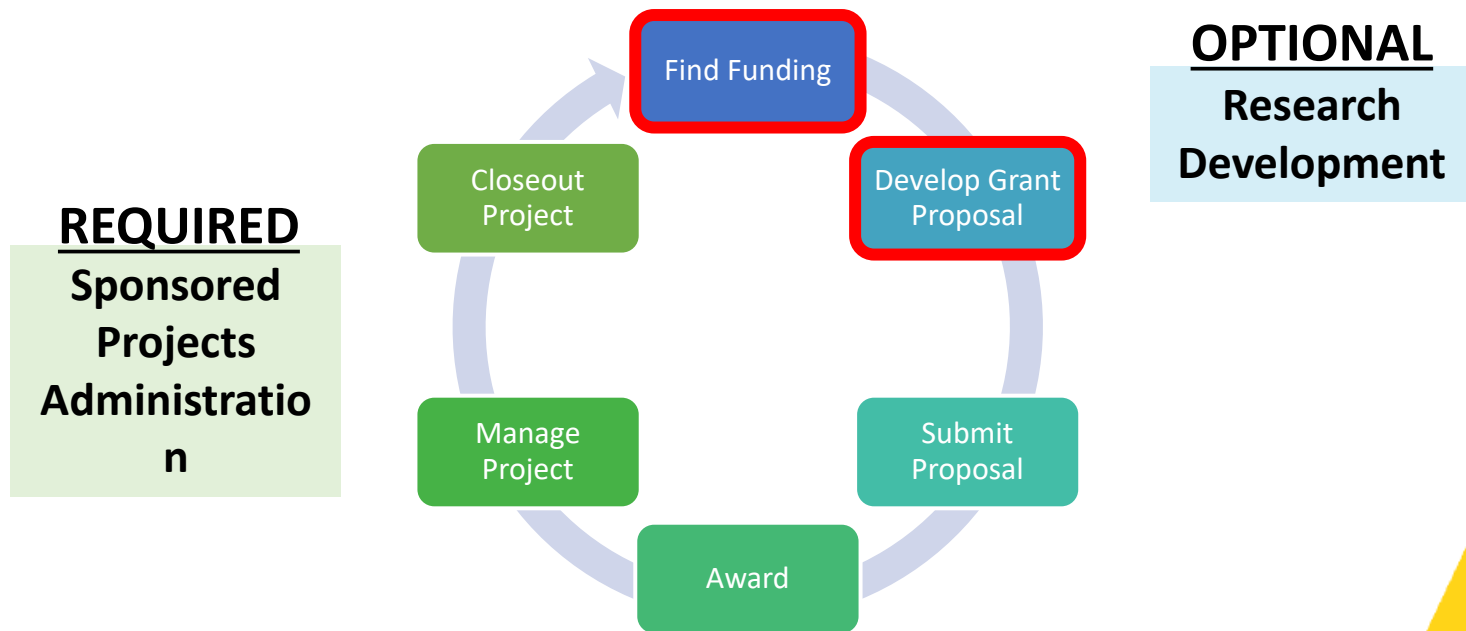


The University of Vermont

Research Development

- **Communicate funding opportunities**
- **Manage Limited Competition process**
- **Provide Grant Proposal Development Support**
- **Develop Grant Writing Resources, Programs, Tools**

Where Does Research Development Fit In?



Funding Opportunities

- Weekly Funding Opportunities Newsletter
<https://www.uvm.edu/ovpr/resdev>
- Pivot-RP database
 - Consult, assistance with creating saved searches
- Limited Competitions management



EXPRESS (Early EXtra Promotion of REsearch and Scholarly Success)

- **\$3000 award** offered by the **VP for Research** to aid in initiating your research, scholarship, and creative activity
- **Eligibility:** new **tenure-track** faculty who began appointment on/after January 1, 2023
- **Application:**
 - One-page description of how funds will be used
 - One page budget
 - Letter of support from Dept. Chair or Dean
- **Deadline:** Oct. 16, 2023

Research Proposal Development

- **Grant proposal review and grantsmanship critique**
 - Annotated feedback and suggestions
 - Review for responsiveness to RFA, and/or reviewer critiques
- **Grant proposal writing assistance and editing**
 - Substantive editing of draft text
 - Editing to improve clarity and flow, formatting and presentation
 - Assist with drafting non-technical proposal components
- **Project Management for proposal preparation – *Limited service***

How Are Research Development Services Prioritized?

Factors taken into consideration include:

- **New faculty member, or new to grant writing**
- Large, complex, multidisciplinary
- Alignment with areas of institutional priority
- Timeliness of request
- Current and projected workload of grant proposal developers

Look for Opportunities to Engage with Us

- SPA.edu sessions
- Spring semester: **NSF CAREER “Commit to Submit”** program
- Seminars/sessions about particular funding opportunities
- Research Impacts Hub

Grant Writing Tools and Resources Online

- grant writing templates & checklists (NIH, NSF, USDA)
- Lewis-Burke Associates analyses & reports
- **Slides from previous ResDev programs**

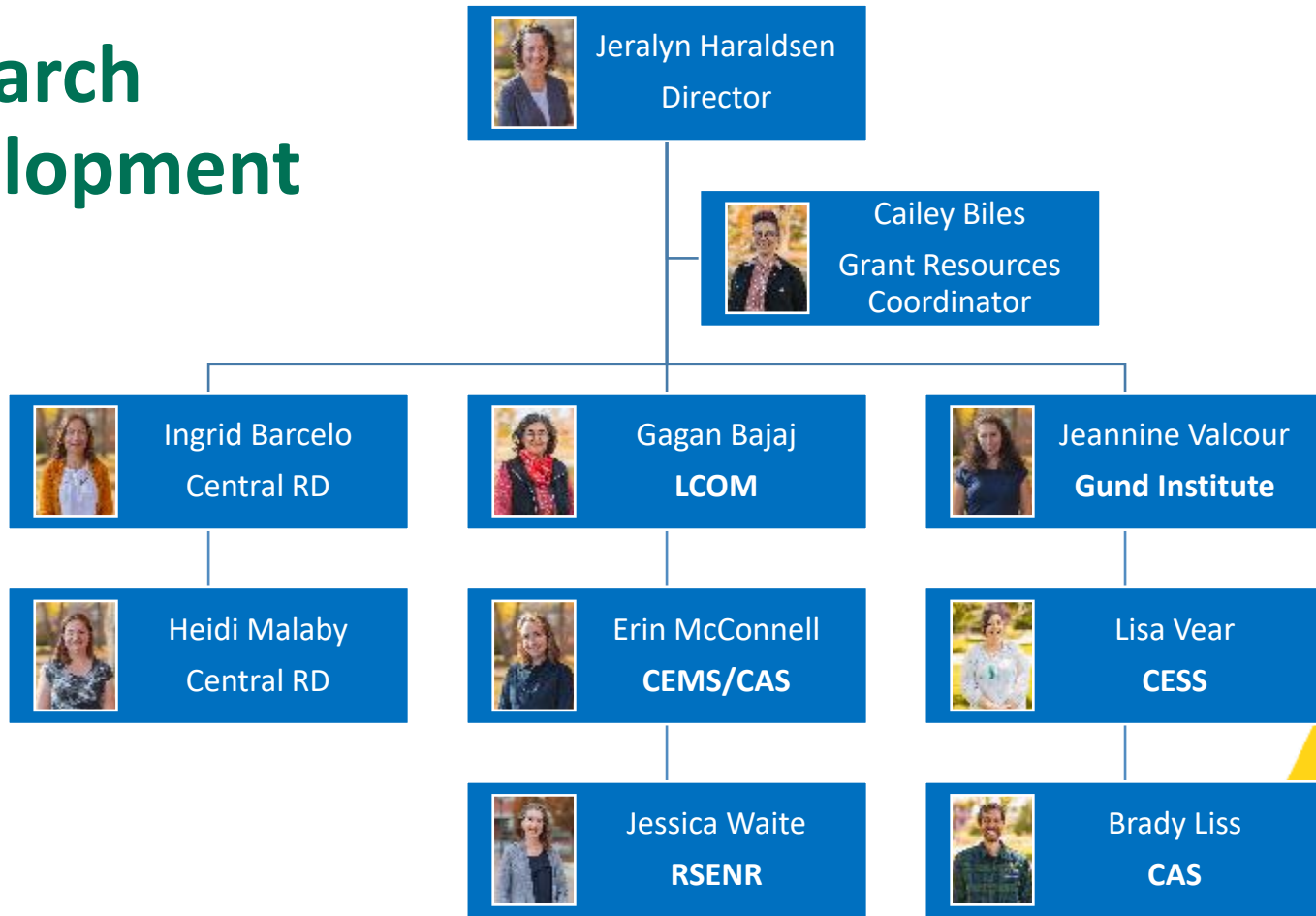
For details: <https://www.uvm.edu/ovpr/resdev>

How to Request Support:

- Initiate contact early – **6-12 weeks in advance*** of your deadline
- **Complete intake form** on website with info about **funding opportunity** and **deadline**
<https://www.uvm.edu/ovpr/resdev>
- Contact us to set up a Teams call or coffee meeting:
 - Meet our team – tell us about your research!
 - Help with using Pivot funding search database
 - New to grant writing or need help navigating the process
 - Early consult to answer questions or if unfamiliar funding agency



Research Development



For Questions, or to Request Research Development Services:

<https://www.uvm.edu/ovpr/resdev>

Jeralyn Haraldsen, *Director*

Office: 342A Waterman

Email: Jeralyn.Haraldsen@uvm.edu

Phone: 656-2982



New UVM Faculty Orientation

An Introduction to the Research Protections Office



Research Safety, Ethics & Compliance Issues

UVM's Research Protections Office (RPO) is responsible for the review/oversight programs that support the institution's conduct of safe and ethically sound scientific research involving human participants, vertebrate animals and biohazards.

- Institutional Review Board (IRB)
- Institutional Animal Care and Use Committee (IACUC)
- Institutional Biosafety Committee (IBC)

REQUIRED TRAINING THROUGH CITI

IRB – Human Subjects

- Medical researchers should take Biomedical Research
- Social or Behavioral researchers should take Social Behavioral Education Sciences
- College of Medicine faculty – Good Clinical Practice

IACUC – Lab Animals

- General Lab Animal Training course *in addition to* any Animal-Specific Courses (Amphibians, Cattle, Fish, etc.)
- Occupational Health and Safety Program for Employees Working with Animals:
- All personnel working with animals are required to complete a baseline risk assessment form prior to working with animals. Subsequent health reviews are required annually.

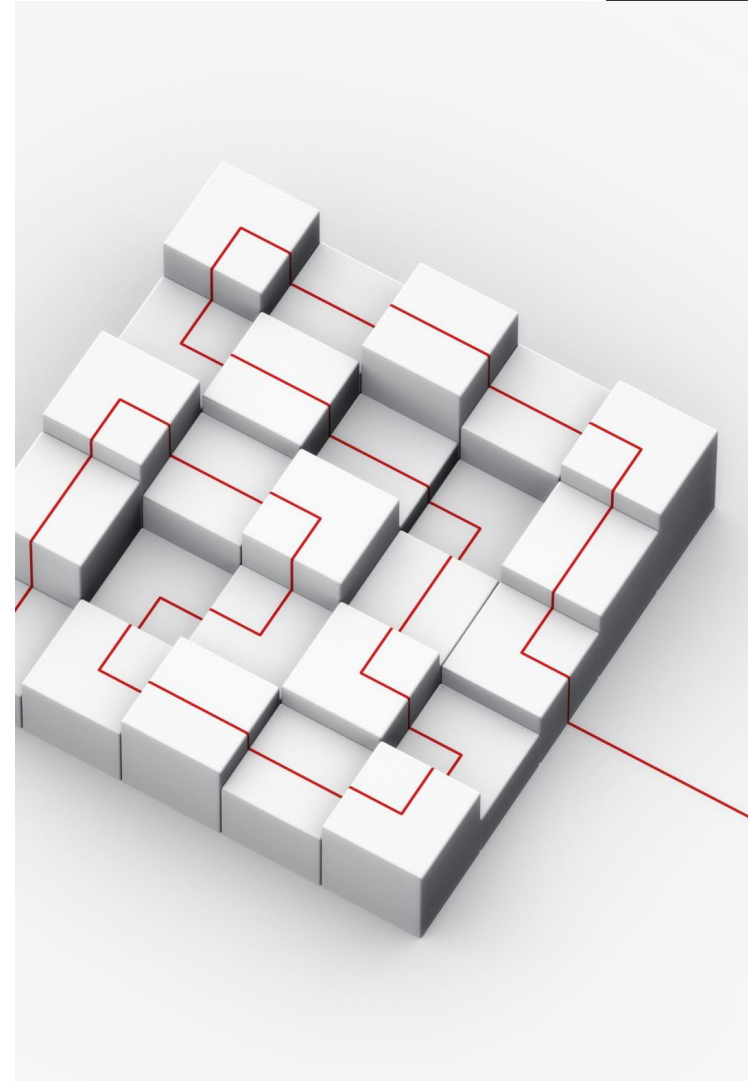
IBC

- Depending on the level of containment, you will need to complete either the BSL-1 or BSL-2 Basic Course.
- The BSL-2 Basic Course meets all requirements for BSL-1 related work.
- AND other CITI course(s) if applicable: (nanotech, animal biosafety)
- OSHA Bloodborne Pathogens

Submission of Research Protocols and Lab Registrations through UVM Click

- UVMClick is a paperless, electronic method to submit new protocols, modifications, continuing reviews and reportable new information.
- Investigators should visit our committee specific "User Guides" to prepare a submission. Step by step directions along with screenshots of the database are located here.
- Tip Sheets have been created to help researchers troubleshoot the online system
- FAQ's have been created to answer PI's most frequently asked questions

<https://www.uvm.edu/ovpr/uvmclick>



Institutional Review Board (IRB)

Human Subject Research

Institutional Review Board (IRB)

University of Vermont (UVM) and UVM Medical Center are involved in important behavioral and biomedical research and are committed to assuring that all research activities are conducted in a manner that promotes the rights and welfare of the participants.

UVM currently has two IRB's:

CHRMS - Committees on Human Research in the Medical Sciences

CHRBSS – Committee on Human Research in the Behavioral & Social Sciences



IRB Committee Mission

The University of Vermont and UVM Medical Center are responsible for safeguarding the rights and welfare of human subjects involved in any research activity.

All research, funded or unfunded, conducted by University and/or UVM Medical Center personnel, including students, or done under the auspices or sponsorship of either institution must be reviewed by either the Medical or Behavioral Institutional Review Boards.

Approval must be obtained **BEFORE** the research activity starts and more than minimal risk protocols must be reviewed at least annually for as long as it is active.

IRB Approval Process

The Committee reviews and sends memo to PI through the CLICK system

PI responds to any clarifications or concerns from the Committee

Verification of applicable CITI training completion

Receipt of final IRB assurance approval and stamped consent forms (if applicable)

PI is ready to begin human subject research

Ongoing IRB review

- Yearly continuing review reports for more than minimal risk protocols
- Modifications to the protocol, consent form, recruitment material, updates to the drug brochures etc.
- Key personnel changes
- Reporting of adverse events /unanticipated problems
- Quality Assurance Visits by RPO staff

Post Approval Process

Institutional Animal Care and Use Committee (IACUC)

Vertebrate Animals

IACUC Committee Mission

- The University of Vermont is committed to the humane care and use of animals in activities related to research, testing and teaching. There are two separate organizational components at UVM designated to ensure appropriate implementation of all aspects of the animal care and use program:
 - The Institutional Animal Care and Use Committee (IACUC) is UVM's central review body for matters relating to the care, use and treatment of animals in these areas and is in the Research Protections Office.
 - The Office of Animal Care Management (OACM) with the University Veterinarian as its director, is responsible for the oversight of all animal care and use and for ensuring compliance with federal, state and local regulations.

Determine if the Project requires IACUC review



- Does the proposed activity involve vertebrate animals in research or teaching? If yes, it must be reviewed by the IACUC
- We recommend that new investigators review the requirements on our webpage prior to submitting to the IACUC.

Protocol Submission Process

Initial Veterinary Review

A protocol is sent to the University Veterinarian for review and approval through the CLICK system.

Return to Investigator for modifications

The draft protocol is returned to the investigator with a written review and a copy of the protocol with tracked changes. The veterinarian must sign the protocol.

Final Submission to IACUC

After revisions are made, a final document is submitted to the IACUC for review. A grant, if applicable, must be submitted as well

Assigned a review or placed on agenda

A pre-review by a research analyst is conducted and the protocol and supporting documents are assigned to committee reviewers and added to the next available agenda if applicable.

Protocol Maintenance

- IACUC protocols that include USDA species require a basic annual review. All other protocols complete the triennial review.
- Any change to the protocol/experiments/procedures must be submitted through UVMClick to the IACUC for approval before those changes are implemented.
- Key personnel rosters must be kept up to date. Personnel additions to the roster must be submitted and approved by the Committee before those individuals can work in the lab.



Institutional Biosafety Committee (IBC)

Infectious agents and recombinant DNA

IBC Mission

- The University of Vermont (UVM) Institutional Biosafety Committee (IBC) is a standing committee that ensures that all research and teaching activities involving biohazardous materials are conducted in a safe and informed manner.
- The IBC is responsible for ensuring full compliance with the [NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules \(NIH Guidelines\)](#) and for monitoring all other research and teaching activities involving the use of infectious or potentially infectious biological materials and biotoxins.

Biosafety Oversight

The IBC reviews all research and teaching protocols that involve the following materials without regard to the source of funding:

- Recombinant or synthetic nucleic acid molecules as specified in the NIH Guidelines
- Human, animal, and plant pathogens (bacteria, fungi, viruses, parasites, prions)
- Plasmid vectors
- Viral vectors
- Human-derived materials (blood, blood products, cells, tissues, and clinical specimens) *when used in conjunction with recombinant or synthetic nucleic acid molecules*
- Biotoxins
- Select Agents and Toxins



What Forms are Needed for IBC approval

- A [Standard Operating Procedure](#) must be submitted for each biohazardous agent listed in the Master Protocol Registration.
- The Biohazardous Agent Reference Document ([BARD](#)) is a general guidance resource that reviews and summarizes the nature of a pathogen or bio toxin and offers safety requirements for work with the agent in the laboratory.
- During the Risk Assessment, the Biosafety Officer may recommend the use of a BARD, however, additional SOP documentation may be required as determined by the risk assessment.



Post Approval Monitoring

- The primary focus of the monitoring process is to assess PPE use and management, educate and advise on biosafety and IBC compliance matters, and address any questions or concerns brought forth by principal investigators.
- This process is intended to be collegial and interactive, not punitive. If a biosafety or IBC compliance issue is discovered during a visit, the IBC will assist the investigators in addressing the issue.



We're here to help

Research Protections Office
University of Vermont
213 Waterman Building
85 South Prospect Street
Burlington, Vermont 05405

[CONTACT STAFF](#)



UVM Innovations

www.uvm.edu/uvminnovations

UVM Innovations

- Manage the Intellectual Property created at UVM
 - Evaluate
 - Strategize
 - Protect
 - Commercialize
- Team
 - **Corine Farewell** DVM, MBA
Director
 - **Kerry Swift** MS
Technology Licensing Officer
 - **Tina Thornton** PhD
Faculty Entrepreneur Lead
 - **Mollie Davis**
Student Entre. Coordinator
 - **Rick Gomez** Esq.
Intellectual Property &
Business Manager

Mix of Technical, Scientific, Entrepreneurial, Legal, Corporate & Business Development experience.



UVM Innovations

We are here to inform all members of the UVM community on intellectual property (IP) protection and the path from bench to market availability as a good or service.



UVM Innovations

Our team can also guide you through UVM's processes for establishing relationships with new industry partners and can help with other research engagement agreements such as confidential disclosure agreements, collaborations where intellectual property plays a critical role and funding opportunities, including SBIR/STTR subcontracts.

Close collaboration with the Office of Engagement and Research Administration



UVM Innovations

To connect and engage the UVM community with Vermont's tech commercialization ecosystem, UVM Innovations holds several events including the annual [Invention2Venture \(I2V\) conference](#), [I-Corps Training](#), [SBIR/STTR events](#), technology commercialization courses through the [iTREP grant](#), and presentations from industry experts.

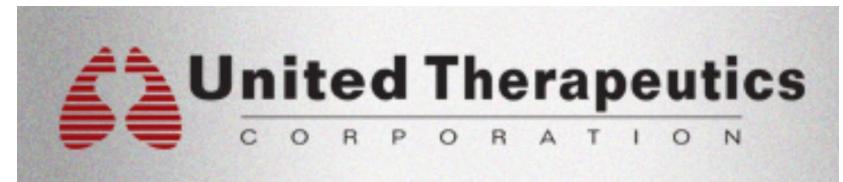


UVM Innovations

UVM Innovations manages two seed funding programs at UVM to help you bring your technology to market: [UVM Ventures](#) and [SPARKVT](#).

We also manage the Academic Research Commercialization (ARC) student internship program designed to help UVM researchers further their technology commercial development.

UVM Innovations Successes



Invention2Venture

SPARK VT

UVM Ventures



Thank You

- Find us at:
 - 209 Waterman
 - 802-656-8780
 - innovate@uvm.edu