

“WHO TO TURN TO”



Institutional Leaders
Responsible for Research
Oversight and Support

Resources for Faculty and Staff



Last updated July 2021

DESIGNATED RESPONSIBLE PARTY

Research Compliance and Support Starts at the Top



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Goal

To support UTHHealth's research activities and its researchers by providing a safe, ethical and responsible environment for the conduct of research.

INSTITUTIONAL COMPLIANCE LEADERSHIP



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Chair, Executive Compliance
Committee**
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Giuseppe N. Colasurdo, M.D.



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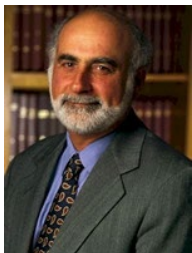


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PRE-AWARD SUPPORT SERVICES

Sponsored Research Administration

Area of Accountability

SPA is the central point of coordination and tracking for sponsored projects and is UTHealth's authorized representative for grants, contracts, and other agreements from government agencies, private industry, and non-profit foundations.

Services

SPA guides faculty and administrators in completing external applications; reviews and approves sponsored project budgets and applications; negotiates terms for government and non-profit grants, cooperative agreements, contracts, and subcontracts; establishes accounts and sets up budgets; processes budget revisions, no-cost extension requests, and grant transfers; provides assistance with external online grants/contracts systems; and negotiates the University's federal indirect cost rate.

Contact Information



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Carmen Martinez, MHA, CRA

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Sponsored Projects: <https://www.uth.edu/sponsored-projects-administration/>

POST-AWARD SUPPORT SERVICES

Sponsored Research Administration

Area of Accountability

That the university and its researchers will expend grant and contract funds in accord with the terms of the award . Particular emphasis is placed on determination of the “Allowability” of Expenditure, Sub-recipient Monitoring (Sub-contracts) and Preparation and submission of Final Reports

Services

The Post-Award Finance team (PAF) is responsible for helping principal investigators and department administrators with the efficient and effective fiscal management of grants and contracts once awarded. PAF ensures grant and contract accounts are set-up correctly in the Financial Management System (FMS), are managed and administered accurately, and are closed out correctly and timely. PAF also serves as an institutional policy and compliance liaison. As part of this role, PAF works with and provides documentation for external audits and assists internal audit personnel in responding to audit findings with appropriate action.

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Sponsored Projects: <https://www.uth.edu/post-award/index.htm/>

POST-AWARD: EFFORT REPORTING

Sponsored Research Administration

Area of Accountability

That the university and its researchers will accurately report the time and effort allocated by faculty and staff to individual research projects. Expenditures of salary funds from contracts and grants will not exceed the time and effort allocated to that source.

Services

The effort reporting team assists researchers and research administrators with the effort reporting process. They maintain the Effort Certification and Reporting Technology (ecrt[®]) is a web-based system that integrates financial, payroll, and research administrative functions and is designed to enhance compliance management, improve financial information for academic units through comprehensive reporting, and significantly reduce the administrative burden of the effort reporting process.

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CLINICAL RESEARCH FINANCE

Sponsored Research Administration

Area of Accountability

That the university and its researchers will ensure appropriate billing for clinical research projects.

Services

The effort reporting team assists researchers and research administrators with clinical trial contracts, coverage analysis and budgeting.

Contact Information



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RESEARCH MISCONDUCT

Area of Assurance

That the university and its researchers adhere to the highest standards of honesty and ethical behavior in the conduct of research.

Services

UTHealth has in place policies and procedures to address issues related to:

- Fabrication of data and results
- Falsification of research
- Plagiarism and the appropriation of the ideas, results or words without appropriate attribution.

[HOOP 202](#) Honesty in Research provides greater detail on these policies and procedures.

Compliance Hotline number: 1-888-472-9868

Compliance Web Report website:
www.tnwinc.com/webreport

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Compliance: <https://www.uth.edu/compliance/index.htm>

Research: <https://www.uth.edu/research/index.htm>

FINANCIAL INTERESTS IN RESEARCH

Research Conflict of Interest Committee

Area of Assurance

The University is committed to ensure that financial interests of investigators and institution do not affect, or appear to affect, the design, conduct or reporting of research or compromise the protection of human subjects.

Services

When key study personnel have a financial interest related to the proposed research, the Research Conflicts of Interest Committee (RCOI) evaluates the financial interest and work with the investigator to develop a management plan that outlines strategies to promote objectivity in research.

Contact Information



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Research COI : <https://www.uth.edu/evpara/rcoi/index.htm>

Financial Disclosure: <https://inside.uth.edu/evpara/coi/financial-disclosures.htm>

OUTSIDE ACTIVITIES

Institutional Conflicts of Interest Committee

Area of Assurance

The University is committed to protect the credibility and reputation of the university, the UT System, and members of the faculty and staff by providing a transparent system of approval, disclosure, and documentation of employee activities outside the university that might otherwise raise concerns about conflicts of interest or conflicts of commitment.

Services

The conflicts of interest team assist faculty and staff maintain the online system for submission of annual financial disclosures and requests for prior approval. The staff help coordinate review of disclosures by the ICOI committee.

Contact Information



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Research COI : <https://www.uth.edu/evpara/rcoi/index.htm>

Financial Disclosure: <https://inside.uth.edu/evpara/coi/financial-disclosures.htm>

Outside Activities: <https://inside.uth.edu/evpara/coi/outside-activities.htm>

PROTECTION OF HUMAN SUBJECTS

Committee for The Protection of Human Subjects

Contact Information

Area of Assurance

That the university and its researchers conduct an ethical and responsible program in the area of human subjects research

Services

The Committee for the Protection of Human Subjects (CPHS) is the Institutional Review Board (IRB) for UTHealth. All research involving human subjects conducted by UTHealth faculty, staff and must be reviewed and approved by CPHS.



Anne Dougherty, MD

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iRIS Log In Screen: <https://iris.uth.tmc.edu/>

IRB Website: <https://www.uth.edu/cphs>

Clinical Trial Resources: <https://www.uth.edu/ctrc>

CARE AND USE OF ANIMALS IN RESEARCH

Animal Welfare Committee

Area of Assurance

That the university and its researchers conduct an ethical and responsible program in the use of animals in research

Services

The Animal Welfare Committee (AWC) is the **Institutional Animal Care & Use Committee** for UTHealth and provides for the review, approval and monitoring of all animal research carried out by UTHealth faculty, staff and students.

The AWC and the Center for Laboratory Animal Medicine and Care (CLAMC) provide a series of training courses in Laboratory Animal Research.

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iRIS Log In Screen: <https://iris.uth.tmc.edu/>

AWC Website: <https://www.uth.edu/animal-research/>

CLAMC: <https://www.uth.edu/animal-research/clamc.htm>

USE OF RADIATION IN RESEARCH

Radiation Safety Committee

Area of Assurance

That the university and its researchers manage the acquisition, use and disposal of radioactive materials and radiation sources in a safe and responsible manner

Services

The Radiation Safety Committee reviews all research protocols that include the use of sources of radioactive materials.

The Radiation Safety Program assists the Radiation Safety Committee, performing routine laboratory inspections, providing personnel, area and environmental monitoring, and responding to emergency situations.

Contact Information



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Radiation Safety: <https://www.uth.edu/safety/radiation-safety/index.htm>

HAZARDOUS CHEMICALS IN RESEARCH

Chemical Safety committee

Area of Assurance

That the university and its researchers manage the acquisition, use and disposal of hazardous chemicals in a safe and responsible manner

Services

The Chemical Safety Committee reviews all research protocols that include the use of designated hazardous chemicals.

The Chemical Safety Program assists the Chemical Safety Committee, performing routine laboratory inspections, providing personnel, area and environmental monitoring, and responding to emergency situations.

Contact Information



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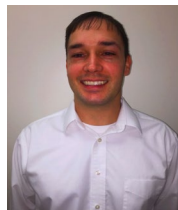
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BIOSAFETY IN RESEARCH

Biological Safety Committee

Area of Assurance

That the university and its researchers manage the acquisition, use and disposal of hazardous biological agents and reagents in a safe and responsible manner.

Services

The Institutional BioSafety Committee reviews all research protocols that include the use of potentially infectious agents and rDNA.

The Biologic Safety Program assists the Institutional BioSafety Committee, performing laboratory inspections, supporting the handling and disposal of hazardous biological material, providing personnel, area and environmental monitoring, and responding to emergency situations.

Contact Information



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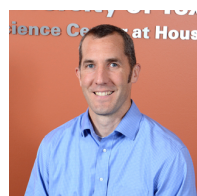
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Biological Safety: <https://www.uth.edu/safety/biological-safety/index.htm>

STEM CELLS

Stem Cell Research Oversight Committee

Area of Assurance

That the university and its researchers manage the acquisition and use of human ESC and human iPSC in an ethical and responsible manner.

Services

All research involving human embryonic stem cells (hESCs) or human induced pluripotent stem cells (hiPSCs) conducted at the university by its employees and/or involving use of its facilities or resources must be reviewed and approved by the SCRO Committee before it is initiated.

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INTELLECTUAL PROPERTY Technology Management

Office of Technology Management

The mission of the Office of Technology Management is to provide a resource for faculty, staff and student inventors of The University of Texas Health Science Center at Houston that will allow inventors an avenue to explore the opportunities for their inventions, coordinate appropriate legal protection for the intellectual property, and undertake the technology transfer activities, while ensuring that new products and methods are made available to the citizens of Texas and generating a royalty income for the University of Texas Health Science Center at Houston.

Services

Provides information, tools and resources about the process of intellectual property protection and commercialization including patent, copyright applications, start-up company formation and licensing.

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EXPORT AND ITAR CONTROLS

Area of Assurance

That the university and its researchers avoid transferring to foreign nations and foreign nationals information, technology and equipment deemed to be “restricted” in its distribution.

Services

A license is required to export regulated items, but there are important exemptions for research and teaching activities at universities. The regulation and licensing requirements depend on what is being exported, where it is going, who will receive the export, and how it will be used. UTHHealth and its faculty, staff and trainees must comply with these regulations, and penalties for violating them include fines, jail time, and loss of export privileges.

The individuals listed on this page can assist you in answering any questions you may have about how the regulations apply to your research, if a license is required, or how to obtain a license.

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RESEARCH SUPPORT SOURCES OF INFORMATION

1. Department colleagues, administrators, DMOs and Associate Deans for Management may be good first resources.
2. Each UTHealth school has an Associate Dean for Research (*see slide 4*).
3. University leaders indicated in this brochure may always be contacted for support and information.
4. If you experience difficulty finding information, please feel free to contact the [Office of Academic and Research Affairs](#).

Our Collective Goal

To support UTHealth's research activities and its researchers by providing a safe, ethical and responsible environment for the conduct of research.