Introduction to UH Research
Office of Research Development
Sponsored Projects
Technology Transfer
Statistics, Technology, Faculty Start-up,
Internal Award Distribution, Lab
Renovation and Construction
Compliance Oversight
Animal Care Operations
Tier One Standing

UH seeks to enhance and sustain its status as a premier research university

To that end, the UH Research is:

• Enhancing research infrastructure
• Improving management of grants and contracts
• Marketing the university's intellectual property
• Enhancing its capacity to secure additional funding
The RSC, a branch of the faculty governance structure through Faculty Senate, provides a faculty voice to University Administration on matters pertaining to research.

Wynne Chin, RSC Chair
Professor, Business

Vallabh Das, RSC Vice-Chair
Professor, Optometry
UH Research Awards & Expenditures

Awards

<table>
<thead>
<tr>
<th>Year</th>
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<tbody>
<tr>
<td>2011</td>
<td>$93</td>
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<td>2012</td>
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<tr>
<td>2014</td>
<td>$119</td>
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<td>2015</td>
<td>$127.5</td>
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Expenditures*

<table>
<thead>
<tr>
<th>Year</th>
<th>Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td>2011</td>
<td>$114</td>
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<td>2012</td>
<td>$116</td>
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<td>2013</td>
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<td>2014</td>
<td>$141</td>
</tr>
<tr>
<td>2015</td>
<td>$150</td>
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</table>

*as reported to NSF
Introduction to UH Research

Office of Research Development

Sponsored Projects

Technology Transfer

Statistics, Technology, Faculty Start-up, Internal Award Distribution, Lab Renovation and Construction

Compliance Oversight

Animal Care Operations
Ice Breaker!

Five Volunteers
(New Faculty or DOR execs)

Tell us two things about yourself:
one is true, one is a lie

The others guess which one is the lie
Office of Research Development

Office of Research Development (ORD): ord@uh.edu

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713-743-8886

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Research Liaison Officer
cdonica@UH.EDU
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Rozlyn S. Reep
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713-743-9758

Nina Spitzley
Temp Research Funding Specialist
nspitzle@central.UH.EDU
713-743-9703

Shari Kammerman
Temp Exec Admin. Assistant
skammerm@central.UH.EDU
713-743-9758
The Office of Research Development (ORD)

- Identifies relevant funding opportunities, particularly those requiring multidisciplinary and multi-institutional teams
- Develops working groups to proactively address these opportunities
- Helps teams develop strategic content for competitive proposals
- Provides workshops and resources on grantsmanship with program officers from agencies and other funding entities
- Connects you to collaborative opportunities across local, regional and national entities
Proposal Pipeline

Identify
- Funding ops
- Dimensions of the RFA
- Interested Faculty
- Coalesce teams
- External partnerships

Facilitate
- Proposal development
- Crystallize objectives
- Refine according to program goals
- Schedule for completion of key components
- Timeline to submission
- Establish team communication

Enhance
- Review—internal and external peers
- Identify gaps/weaknesses
- Identify missing collaborators/technical areas
- Strengthen and polish

Submit
- RA’s verify that technical requirements are complete
How to Find Funding

- Pivot
- Grants.gov
- DOR Inside Research Newsletter
- Office of Research Development website at http://www.uh.edu/research/research-dev/funding-ops
- Limited Submissions Sharepoint Site at https://share.uh.edu/dor/LS/default.aspx
<table>
<thead>
<tr>
<th>Service Provided</th>
</tr>
</thead>
<tbody>
<tr>
<td>Finding funding</td>
</tr>
<tr>
<td>Crystallizing your research ideas</td>
</tr>
<tr>
<td>Identifying internal and external collaborators</td>
</tr>
<tr>
<td>Organizing a brainstorm session with other researchers</td>
</tr>
<tr>
<td>Applying for a Limited Submission funding opportunity</td>
</tr>
<tr>
<td>Bringing a Program Officer or special guest to UH</td>
</tr>
<tr>
<td>Organizing a multi-disciplinary proposal or reviewing a proposal narrative</td>
</tr>
<tr>
<td>Obtaining a letter of Support from the VPR or Chancellor</td>
</tr>
</tbody>
</table>

Contact ORD if you need help with
Introduction to UH Research
Office of Research Development

Sponsored Projects
Technology Transfer
Statistics, Technology, Faculty Start-up,
Internal Award Distribution, Lab
Renovation and Construction
Compliance Oversight
Animal Care Operations
OCG is responsible for Sponsored Projects proposal submission and award management. The unit is comprised of three areas managed by the following individuals:

- Beverly Rymer, Executive Director
  brymer@uh.edu, 713-743-5773

- *Pre-Award* - Benjamin Mull, Associate Director
  bbmull@central.uh.edu, 713-743-3711

- *Post-Award* - Javeria Kazi, Assistant Director
  jkazi@uh.edu, 713-743-9236

- *Research Financial Services* - Grace Rosanes, Assistant Director
  tgrace@central.uh.edu, 713-743-3617
Pre-Award Functions (OCG)

- Proposal preparation assistance
  - Budget preparation, editing and review (including revisions at sponsor’s request)
  - Solicitation and sponsor rules/regulations guidance
  - Application review and submission
- Internal approval routing for proposals (RAMP)
  - IDC restrictions, reductions and waivers
  - Cost sharing guidelines and commitments
- Award transfers into UH from another institution
- Sponsored research contract review
- Subrecipient proposal preparation and review
- Sponsor portal account maintenance and assistance with electronic grant systems (FastLane, eRA Commons, NSPIRES, Cayuse, eBRAP, etc.)
Indirect Costs (IDC, F&A)

The federally-negotiated UH F&A rate is
50.5% (FY2017)
53% (FY2108+)

Sponsors must recognize and honor this rate.

– Exceptions include:
  – Sponsor rate specified in the solicitation
  – IDC is restricted by statute or law
  – Published limitations for non-profit and government agencies
  – Salary reimbursement/agreements for training and student support

Any other deviation from full IDC must be requested in writing and approved by the Department Chair, Dean, and Vice President for Research, in that order.
Proposals are routed electronically for the approval of:

- Department Chair
- Dean
- Center Director
- VP Research

Approvals must be complete before the proposal can be submitted.

https://ramp.research.uh.edu/
OCG has two attorneys called Contract Officers, who review and negotiate non-standard research contracts and agreements. All agreements are signed by the VP for research or his designee.

**Monetary Agreements**
Are used by external sponsors to issue an award. They may include the following:

- Sponsored Research Agreement
- Service Agreement
- Purchase Order
- Consulting contract
- Consortium agreements
- Other types of Award letter

**Non-Monetary Agreements:**
- Confidentiality and/or Non-Disclosure Agreement (NDA)
- Data and Software License Agreement
- Equipment Use Agreement
- Master Agreement
- Material Transfer Agreement
- Memorandum of Understanding
- Teaming Agreement
Post-Award: Award Set-up and Management

Negotiation of award

Award notification received from sponsor

Cost center set-up in PeopleSoft Finance

Award management and monitoring:
- PIs/co-PIs
- Dept. administrators
- OCG
- Sponsor

Record Retention

Close out in Progress

Final Technical Report

Award management and monitoring:
- Technical progress
- Costing practices
- Invoicing
- Payment

Cost center set-up in PeopleSoft Finance

Final Technical Report

Record Retention
Post-Award Roles and Responsibilities

Post-Award Research Administrators (RA)

- Negotiation and acceptance of awards
- Establishing a cost center in UH financial system to allow PI/Dept. to spend
- Establishing sub-awards and monitoring sub-recipients
- Tracking and monitoring the submission of technical reports
- Sponsor requests: prior approvals, no cost extensions, budget revisions
- Assisting relocating faculty with award transfers in or out of the University.
- Providing training and guidance with regard to the federal, state, university and individual sponsor’s rules and regulations as it relates to the awards
Subcontract Team

Create and issue a Subaward and works with the PI to create and issue a Subaward to the subcontracting entity. Once fully executed, the department receives notification the Subaward is active.

Subrecipient Team receives monthly invoices, reviews and sends for PI approval and Department Business Administrator to remit payment.
Post-Award Roles and Responsibilities

**Principal Investigator (PI)**
- Oversees the conduct of the project
- Reads the terms and conditions of awards to ensure compliance
- Approves and reviews all expenditures on award
- Submits all technical and program reports as required

**Department Business Administrator (DBA)**
- Day to day payroll, purchasing and administrative duties related to the award
- Monitors expenditures for compliance with Federal, State, University and sponsors’ policies
- Provides monthly reconciliation of expenditures by cost center to PI
Interim Funding

- A cost center can be set up before the actual NOA is issued, on an interim basis.
- This allows the PI to begin a project and incur *expenditures on the same cost center that will be used when the actual award is given*.
- Cannot be set up if IRB/IACUC has not been submitted for compliance review and approval.
- In the event that the award does not materialize, the expenditures will be transferred to a non-grant department cost center.
Research Financial Services

- Reviews cost center expenses for invoicing and financial reporting
- Prepares inventory, intellectual property/patent and other non-financial reports
- Financial close out of awards with agencies and in the UH financial system
- Reconciles accounts receivables and sends out reminders and collection notices
- Coordinated external audits that involve examination and confirmation of award transactions.
- Oversees effort reporting certification process
Residual Funds

Following the expiration of a fixed-price award, any unspent balance may be transferred to a residual funds cost center to be used by the PI to further his/her research objectives.

• The transfer can take place if the sponsor received and accepted the planned deliverables.

• The funds transferred to the residual cost center are no longer subject to the terms and conditions of the original award(s).

http://www.uh.edu/research/sponsored-projects/proc-pol-guide/closeouts/2-residual-funds/
Effective September 1, 2015 the University implemented MAXIMUS, an online software system for effort reporting.

More information is in the hand out provided and on line at:
http://www.uh.edu/research/compliance/effort-reporting/
Export Controls regulation may affect the faculty in the following manner:

- Restricted Research (publication, foreign national, controlled items)
- University Travel Abroad
- I-129 Export Control Certification (The hiring foreign nationals)
- Oversees Shipment or the transfer of items on the US Munition’s List or the Commerce Controlled List.

The UH designated Export Control Officer in the OCG offices is Sandy Brown.

UH Principal Investigators should complete the Export control online CITI Training Program. Information can be found on the DOR web at http://www.uh.edu/research/compliance/export-controls/. 
Networking Break: ORD and OCG
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## Top U.S. Institutions in Technology Commercialization*

### Public, No Medical School

<table>
<thead>
<tr>
<th>Institution Name</th>
<th>Royalty Revenue</th>
<th>Royalty Ranking</th>
<th>ROI</th>
<th>ROI Ranking^</th>
</tr>
</thead>
<tbody>
<tr>
<td>University of Houston</td>
<td>$16,633,212</td>
<td>1</td>
<td>12.70%</td>
<td>1</td>
</tr>
<tr>
<td>Iowa State University</td>
<td>$9,108,374</td>
<td>2</td>
<td>0.30%</td>
<td>4</td>
</tr>
<tr>
<td>Rutgers, The State U of NJ</td>
<td>$8,405,927</td>
<td>3</td>
<td>0.160%</td>
<td>7</td>
</tr>
<tr>
<td>University of Georgia</td>
<td>$8,260,195</td>
<td>4</td>
<td>0.24%</td>
<td>5</td>
</tr>
<tr>
<td>University of Oregon</td>
<td>$7,451,794</td>
<td>5</td>
<td>0.86%</td>
<td>2</td>
</tr>
<tr>
<td>Oregon State University</td>
<td>$7,311,638</td>
<td>6</td>
<td>0.31%</td>
<td>3</td>
</tr>
<tr>
<td>North Carolina State University</td>
<td>$6,788,262</td>
<td>7</td>
<td>0.163%</td>
<td>6</td>
</tr>
</tbody>
</table>

### Texas Comparisons

<table>
<thead>
<tr>
<th>Institution Name</th>
<th>Royalty Revenue</th>
<th>ROI Ranking^</th>
</tr>
</thead>
<tbody>
<tr>
<td>University of Houston</td>
<td>$16,633,212</td>
<td>12.70%</td>
</tr>
<tr>
<td>Baylor College of Medicine</td>
<td>$13,785,624</td>
<td>0.38%</td>
</tr>
<tr>
<td>UT System</td>
<td>$55,139,493</td>
<td>0.22%</td>
</tr>
<tr>
<td>TAMU</td>
<td>$12,826,461</td>
<td>0.160%</td>
</tr>
<tr>
<td>Rice University</td>
<td>$522,198</td>
<td>0.05%</td>
</tr>
<tr>
<td>U of North Texas HSC</td>
<td>$101,907</td>
<td>0.03%</td>
</tr>
</tbody>
</table>

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*as reported to AUTM 2013

^ROI National Ranking

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Increased to $28MM in FY2016

All Institutions – Ranked 24th
All Public – Ranked 10th

ROI – Royalty return relative to total research expenditures.
IP and Licensing Revenue Have Increased each Year

<table>
<thead>
<tr>
<th></th>
<th>FY2013</th>
<th>FY2014</th>
<th>FY2015</th>
<th>FY2016</th>
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<tr>
<td><strong>Invention Disclosures</strong></td>
<td>56</td>
<td>60</td>
<td>85</td>
<td>58</td>
</tr>
<tr>
<td><strong>US issued Patents</strong></td>
<td>20</td>
<td>20</td>
<td>29</td>
<td>30</td>
</tr>
<tr>
<td><strong>License Revenue</strong></td>
<td>$16MM</td>
<td>$21MM</td>
<td>$22MM</td>
<td>$28MM</td>
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</tbody>
</table>
Patent and Publish: Why?

• Development of IP can lead to additional funding opportunities for your research.

• We encourage you to start thinking about the commercial value of your IP as early as possible….we are happy to work with you in this process.

• The new “America Invent Act” makes it “first to file” rather than “first to invent” that gains patent protection on a new technology.

• Submit disclosure form 3 months prior to a public disclosure so that a provisional patent application can be filed.
Office of Intellectual Property Management (OIPM) offsets all legal costs.

Source: UHS policy on Intellectual Property
How can OIPM Help You?

- Advising on patent potential
- Provide commercial perspectives
- IP Strategy
- Refining and Strengthening
- Facilitate an IP Committee Decision
- Help identify industrial partners
- Negotiate licenses
- Provide startup support
- Manage the Technology Gap Fund
UH ERP Incubators

• Faculty and/or Student Start-Ups
• Onboarding several UH and external ventures

Collaborative space for UH Ventures

Prospects

• Access to Capital
• Strategic Partnerships, etc.

Faculty and/or Student Start-Ups

Onboarding several UH and external ventures

Capital

Building 4

Building 5

General wet lab space for technology development and device fabrication.

Building 5

Building 4

Collaborative space for UH Ventures

Prospects
<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Email</th>
<th>Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tom Campbell</td>
<td>Interim, Exec. Dir. Intellectual Property Management</td>
<td><a href="mailto:ctom@central.uh.edu">ctom@central.uh.edu</a></td>
<td>713-743-0553</td>
</tr>
<tr>
<td>Natalie A. Davis, Ph.D.</td>
<td>Dir., Intellectual Property Management</td>
<td><a href="mailto:nadavis3@central.uh.edu">nadavis3@central.uh.edu</a></td>
<td>713-743-9155</td>
</tr>
<tr>
<td>Robert Prosak, J.D.</td>
<td>Assoc. Dir., Intellectual Property Management</td>
<td><a href="mailto:raprosak@uh.edu">raprosak@uh.edu</a></td>
<td>713-743-0200</td>
</tr>
<tr>
<td>Tanushree Chatterji, Ph.D.</td>
<td>Technology Transfer Associate</td>
<td><a href="mailto:tchatte@central.uh.edu">tchatte@central.uh.edu</a></td>
<td>713-743-0201</td>
</tr>
<tr>
<td>Shaheen Lokhandwala, M.Ed.</td>
<td>Technology Licensing Assistant (WCE Liaison)</td>
<td><a href="mailto:slokhand@central.uh.edu">slokhand@central.uh.edu</a></td>
<td>713-743-9195</td>
</tr>
<tr>
<td>Tina Blakes</td>
<td>Administrative Assistant</td>
<td><a href="mailto:tblakes@central.uh.edu">tblakes@central.uh.edu</a></td>
<td>713-743-9294</td>
</tr>
<tr>
<td></td>
<td>IP related forms and questions</td>
<td><a href="mailto:oipm@central.uh.edu">oipm@central.uh.edu</a></td>
<td></td>
</tr>
</tbody>
</table>
The Research Information Center is an IT operation of the Division of Research. Sponsored Research Administration hardware, software, data and reporting needs are managed by the Research Information Center. These services include:

- Managing the hardware needs for Division of Research operations
- Managing the research administration software needs for Division of Research operations and faculty/staff within the University
- Managing the data collection and storage for Division of Research operations
- Sponsored research reporting for internal and external customers
- Submitting data reports to governing bodies and sponsoring agencies
Software

- RD2K is a desktop program for managing proposals and sponsored projects.
- **RAMP** is a web-based tool for faculty, administrators and staff to manage sponsored research projects.

For Assistance:
- Web-based form
- Email dorapp@uh.edu
Before Starting Your Research:

Data Management Planning Checklist

• What types of data will be utilized and produced?
• How much data will be used and where will it be stored?
• Who will be responsible for supporting the IT resources used for the research? Who is the responsible Information Security Officer?
• Are there any special privacy, security or compliance requirements for the protection of the data?
Before Starting Your Research:
Data Management Planning Checklist cont.

• What strategy will be used for backup of the data?
• How long should the data be retained?
• Are there sharing requirements for the data?
Best Practices

• Your account is your responsibility. Never share your individual user IDs and passwords with anyone else (including TAs, RAs, etc.)
• Use a unique password for each account you have – work, personal email, banking, Facebook, etc.
• Change default passwords on research IT equipment
• Keep all software current with latest updates to operating system and applications.
Best Practices - Travel

• Physical Security – Always secure laptops and mobile devices when not in your direct possession
• Confidential or sensitive information must not be stored on mobile devices unless encrypted
• When traveling, especially internationally, use a temporary laptop/tablet with only essential applications and data needed for the trip. Erase the device upon return. Do not travel with critical research data unless absolutely necessary.
Resources are available to help with:

• Data Management Plans
• IT Compliance Questions
• Information Security Guidance & Risk Assessments
• IT Security Incident Investigation and Response

Contacts:
UIT Security: security@uh.edu or 832-842-4695
Your College/Division Information Security Officer (ISO)
Core Facilities

Major research instrumentation, laboratories or facilities that will be used by a broad group of researchers within and outside UH.
The Core Facility Concept

Compilation of equipment & highly qualified staff under a common organizational umbrella

Cores exist at the University, College and Department level

Ensures equipment is used to its full potential during its lifespan and allows UH to leverage resources

Used by a broad group of researchers within and outside of UH
University Core Facilities

- Animal Care Operations
- Center for Advanced Computing & Data Systems
- Imaging Core Facility
- Keck NMR Facility
- Sequencing Center
- Texas Center for Superconductivity
College Core Facilities

- Burdette Keeland, Jr. Design Exploration Center
- Center for Life Sciences Technology
- Cullen College of Engineering Microscopy Center
- Geosensing Imaging & Mapping (GIM) Laboratory – NCALM
- NSM IT Printing Services
- Texas Center for Clean Engines, Emissions and Fuels
- UH Nanofabrication Laboratory
- Vision Science Core
Department Core Facilities

- Biology and Biochemistry Imaging Core
- Biomedical Engineering Research Core Laboratory
- Center for Nuclear Receptors and Cell Signaling (CNRCS)
- CHBE Machine Shop Service Center
- Chemistry Service Facilities (Electronic, Glass, Machine, NMR, X-Ray)
- Civil & Environmental Engineering Machine Shops & Labs (CEEMSL)
- Earth & Atmospheric Sciences Center for Petroleum Geochemistry
- Earth & Atmospheric Sciences Electron Microprobe Laboratory
- Electrical Engineering Machine Shop
- Electron Microprobe Laboratory
- Electronic Materials Characterization Center
- Geosciences Remote Sensing (GeoRS) Facility
- ICP Analytical Research Laboratories
- Laser Ablation Multi-collector ICO-MS & Geochemistry Laboratory
- Mass Spectrometry Laboratory
- Physics Machine Shop
- Thermal Ionization Mass Spectrometer (TIMS) Laboratory
- X-Ray Core Facility
Creating/Contributing to a Core

UH Division of Research

www.uh.edu/research/about/core-facilities/

Research Core Facilities

713-743-9201
DOR Business Operations

Oversees all Financial, Human Resources and Payroll Services for the Division of Research and University-Level Research Organizations

- New faculty startup allocations
- Cost share and grant match
- Internal award allocations
Networking Break: OIPM
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Compliance Oversight
Animal Care Operations
Compliance Oversight

• Human Subjects
• Animal Research
• Conflict of Interest
• Grant Congruency Review
• Responsible Conduct of Research

Compliance Website: http://www.uh.edu/research/compliance/
Research Compliance

Used with permission from Don Mayne. Wretched Mess Research Cartoons (2009)
The University of Houston has three Institutional Boards (IRBs) that review human subjects research.

Purpose: To safeguard the rights and welfare of all persons participating in research projects, regardless of funding source, at the University of Houston.

Assures review according to:

- Belmont Report - autonomy, beneficence, justice
- HHS regulations 45 CFR 46 and subparts B, C, D
- FDA regulations – drugs, devices, biologics
- Other regulatory requirements (HIPAA, FERPA)
IRB Committee 1 is responsible for the full review of human subjects research protocols submitted by faculty/staff for all colleges except the C.T. Bauer School of Business and the College of Liberal Arts and Social Sciences (CLASS). Exceptions: The HHP Department of CLASS submits to IRB1; all FDA-regulated research is also reviewed by IRB 1, regardless of college.

IRB Committee 2 is responsible for the full review of human subjects research protocols for the C.T. Bauer School of Business and the College of Liberal Arts and Social Sciences (CLASS), with the exception of the Department of Health and Human Performance. IRB 2 does not review FDA-regulated research.

IRB Committee 3 NEW, OCTOBER 2016! Reviews all student-led human subjects research. Student-led protocols require a faculty sponsor; the faculty sponsor must ensure that IRB review/approval is obtained prior to research initiation. Specified IRB office hours, assistance, and training are available for students and/or their faculty sponsors. IRB 3 does not review FDA-regulated research.
New Online IRB Submission System

https://icon.research.uh.edu

Learn more and sign up for training here:
http://www.uh.edu/research/compliance/icon/

Allow time for ancillary reviews prior to submission:

PI ➔ Dean or Chair (plus faculty sponsor if student) ➔ submit to IRB
IRB Information

• Consult the IRB website for:
  – Submission deadlines and meeting dates
  – Templates and submission guidance (templates and SOPs also located in ICON)
  – Review categories
  – Training requirements
  – ClinicalTrials.gov registration

• The IRB office is also available for:
  – Pre-review consultations
  – Student office hours
  – In-person training for departments and student research methods courses

IRB Questions?
(713) 743-9204
CPHS@central.uh.edu
The UH Institutional Animal Care and Use Committee (IACUC), in conjunction with UH Animal Care Operations (ACO), assures compliance with:

- Public Health Service (PHS) Policy and *the Guide*¹
- Animal Welfare Act/Animal Welfare Regulations (USDA)
- Required semi-annual inspections
- AAALAC accreditation requirements

IACUC Protocol Submissions

• Protocol submission is on adobe forms, sent via electronic mail to the IACUC inbox

• IACUC meets monthly

• Consult the IACUC website for:
  • Submission deadlines and meeting dates
  • Policies and guidance
  • Forms
  • Reporting concerns
  • Training requirements

• The IACUC Veterinarian pre-reviews all protocols and is available for consultation on procedures, anesthetics, analgesics, etc.

• The IACUC office provides in-person protocol submission training for departments and research teams
Semi-Annual Inspections and Post-Approval Monitoring

• In addition to a full evaluation of the animal care and use program, all facilities where animals are used and housed are physically inspected by the IACUC every 6 months (March/Sept)

• Full list of inspection requirements can be found here:  
  http://grants.nih.gov/grants/olaw/sampledoc/cheklist.htm

• Post-approval monitoring may be conducted during the inspection or independently
IACUC and IRB Review Outcomes

• Approved

• Modifications Needed to Secure Approval
  Administrative review of minor modifications

• Withhold Approval/Deferred
  Significant issues - back to full committee

• Disapproved
  Requires significant redesign – or not approvable

Letters go out within 8 business days from the meeting date
IACUC and IRB Required Submissions After Approval

• Annual Review (IACUC requires de novo resubmission every 3 years).
  – All research must stop should approval expire; no wiggle room.

• Modifications, including new research personnel

• Unanticipated Problems or Research Outcomes

• Study Closure
It's a rather interesting phenomenon. Every time I press this lever, that post-graduate student breathes a sigh of relief.
Conflict of Interest

• A conflict of interest often arises out of the fact that a mission of the University is to promote public good by fostering the transfer of knowledge gained through university research and scholarship to the private sector.

• Such a conflict is not inherently “bad” - but does require transparency and management to maintain the integrity of the research.
Conflict of Interest

• FCOI certifications are required annually for all Investigators. (October 1 for current fiscal year).

• Submission is on adobe forms, uploaded to RD2K
  • Check with Department Business Administrator

• Investigator: the Project Director or Principal Investigator, Co-Investigators, and any other persons, regardless of title or position, who are responsible for the design, conduct, or reporting of proposed or funded research activities.

• COI information will also be checked for all human subjects protocols (regardless of funding)
Conflict of Interest

• **Compliance Guidance:**

  • Principal Investigators, Co-investigators, and key personnel listed on a proposal always meet this threshold.

  • Other positions (for example: study coordinators, statisticians, and non-paid personnel) may also meet this threshold based on their role in the research.

  • If you are a collaborator or sub-recipient/subcontractor engaged in research awarded to another institution, certification under the UH policy is required.
Conflict of Interest Process

• Policy, forms, and detailed instructions are available on the COI website

• Certification form – complete checkboxes regarding significant financial interests (SFIs)

• If any are checked “yes,” more detailed information is required using the appropriate disclosure form(s)

• Signatures required – typically Dean/Chair

• The UH COI Committee meets monthly to review disclosures. The Committee advises the VP for Research on conflicts that require a management plan, and works with the investigator, Department and College to ensure that an approved plan is in place.
Updating COI Documents

• Updated certifications/disclosures are required:
  
  • Annually
  
  • Within 30 days of a new significant financial interest
  
  • At the time of proposal submission:
    
    For each funding opportunity, financial interests must be reconsidered with the proposed research in mind. If a potential conflict exists, an updated disclosure must be provided to the COI office for review.
  
  • PHS investigators must disclose 3rd party sponsored travel within 30 days of return

COI Questions?
(713) 743-9252
IACUC@central.uh.edu
Training

• Human Subjects Research
  • CITI online training – valid for 3 years
  • Faculty sponsors for student research must also complete CITI

• Animal Research
  • IACUC: CITI online training – valid for 3 years
  • ACO: Occupational Health/Facility training (required for access to animal areas)
  • Other trainings as necessary based on protocol (ex: isoflurane)

• Conflict of Interest
  • CITI training for Public Health Service-funded research (ex: NIH) – valid for 4 years
Grant Congruency Review

• All funded projects (grants and contracts) involving, or appearing to involve, research with animals, human subjects, or biohazardous/radioactive materials will be reviewed for congruency with approved committee protocols. This includes internal awards.

• All research procedures outlined in the grant/contract must be covered in the approved protocol(s) and all oversight committee approvals must be secured prior to the release of research funds.

• Congruency reviews are also conducted for Material Transfer Agreements (MTAs) and Data Use Agreements.
Recommendation for most efficient review:

• If you receive a fundable score on your proposal:
  
  • Move forward with submitting committee applications (IRB, IACUC, Safety) as soon as possible. A pre-review service is available prior to protocol submission.
  
  • Request compliance review by contacting the email address below (this will save significant time and avoid delays in the release of research funds).
UH is a Tier One Research University...with a matching ethical research culture

- Conflict of interest
- Human subjects, animal, and safe laboratory practices
- Mentor/mentee responsibilities and relationships
- Collaborative research
- Peer review
- Data acquisition, management, sharing and ownership
- Research misconduct
- Responsible authorship and publication
- Scientist as a responsible member of society
Responsible Conduct of Research (RCR)

The University of Houston is committed to supporting responsible and ethical conduct of research and scholarship among its faculty, staff and students. Responsible conduct of research should foster a climate of intellectual honesty and a commitment to ethical responsibilities by academia. All members of the University community share responsibility for developing and maintaining standards to assure ethical conduct of research and detection of abuse of these standards.

The University of Houston is committed to maintaining a research environment that promotes attention to the highest ethical standards for all sponsored and non-sponsored research. However, awards supported by both the National Science Foundation (NSF) as well as the National Institutes of Health (NIH) are required to comply with specific requirements to ensure appropriate training in the responsible conduct of research.

- Responsible Conduct of Research (RCR) Policy
- Responsible Conduct of Research (RCR) Recommended Matrix
- UH On-Campus Resources
- Additional Online Resources
- Frequently Asked Questions regarding RCR Training/Education
- Instructions to Access CITI Online Training (PDF)
RCR Opportunities

1. *CITI RCR Online Training*

2. *Completion of Didactic Course*

3. *Attending* seminar or panel, auditing didactic session in RCR areas

4. *Teaching* single-topic course sessions, seminars, panels

5. *Mentoring* (as mentor OR mentee; requires documentation of content and hours)

6. *Other* (requires explanation and documentation of content and hours) Ex: recurrent project meetings introduced by RCR training or case studies, Independent reading of educational resources listed on RCR website)
In the Works...

– Online modules in ICON for animal research (Late Spring 2017) and FCOI (Fall 2017)

– Compliance modules to be linked to Peoplesoft Grants

– RCR Seminar Series

– Rolling review deadlines for COI and expedited IRB reviews, resulting in quicker turnaround times

Please contact us for questions ANY time! We are happy to work with you before and throughout the duration of your research to ensure regulatory compliance and smooth committee reviews.
Introduction to UH Research
Office of Research Development
Sponsored Projects
Technology Transfer
Statistics, Technology, Faculty Start-up,
Internal Award Distribution, Lab
Renovation and Construction

Compliance Oversight
Animal Care Operations
Environmental Health & Life Safety
Compliance Support

• Biosafety Program

• Radiation Safety Program

• Chemical Safety Program

• Environmental Compliance Program

• Fire and Life Safety Program
Biological Safety Program

• Research involving biological agents including potential human, animal or plant pathogens, recombinant or synthetic nucleic acid molecules, select agents and toxins in research & teaching

• Biosafety Program Scope
  • BSL1 & BSL2, Animal Sample Registration, Human Products Registration
  • Bloodborne Pathogens Program
Biosafety Program Compliance

• The University’s Institutional Biosafety Committee (IBC) and Biological Safety Officer oversee the safe use of these agents to maintain compliance with applicable regulations e.g. NIH

• Services to assist PI/research compliance:
  • MUA/Amendment
  • Lab review/set up
  • Audit, Purchase approval, Training
  • Visiting Researcher/Minors in Laboratories authorizations
Radiation Safety Program

• Radioactive materials, x-ray machines and laser devices are used for research, clinical and instruction at University of Houston.

• Radiation Safety Program Scope
  – Certificates of registration for x-ray and laser
  – Broad license for radioactive material
Radiation Safety Program Compliance

- Radiation Safety Officer & Radiation Safety Committee oversee the safe use of radiation sources/devices.
- Services supporting PI/research compliance:
  - Sublicense & subregistration application/amendment
  - Visiting Researcher/Minors in Laboratories authorization
  - New lab set up and changes review
  - Training and consultation, Purchase approvals
  - Audits, Inspections, Health Physics services
Chemical Safety Program

• Services to assist PI/research compliance:
  – Chemical Hygiene Plan
  – Hazard Communication Training
  – Visiting Researcher/Minors in Laboratories authorization
  – Approve purchase of highly hazardous chemicals
  – Standard Operating Procedures for Particularly Hazardous Substances (PHS)
  – Audits, chemical safety and safety equipment inspections
  – Chemical inventory evaluations
  – Consultations
Environmental Compliance Program

- Hazardous waste pick-ups
- Pollution Prevention activities
- Regulatory reporting
- Air emissions standards
- Hazardous waste disposal requirements
- Certificate of Environmental Compliance review and approval
Fire & Life Safety Program

• The UH Fire Marshal’s Office utilizes the following codes for compliance and enforcement:
  • NFPA 1, *Uniform Fire Code*
  • NFPA 101, *Life Safety Code*

• Training on Fire prevention

• Permitted Activities
  • Open Flame, Temporary Food Dealer, Welding/Cutting and Fire Suppression
# EHLS Contacts

<table>
<thead>
<tr>
<th>NAME</th>
<th>TITLE</th>
<th>PHONE</th>
<th>EMAIL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Joseph Tremont</td>
<td>Director</td>
<td>713-743-5861</td>
<td><a href="mailto:jtremont@uh.edu">jtremont@uh.edu</a></td>
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<td>Lisa Benford</td>
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</tr>
</tbody>
</table>

Main: 713-743-5858  [http://www.uh.edu/ehls/]
Introduction to UH Research
Office of Research Development
Sponsored Projects
Technology Transfer
Statistics, Technology, Faculty Start-up,
Internal Award Distribution, Lab
Renovation and Construction
Compliance Oversight

Animal Care Operations
Dr. David W. Brammer
Executive Director
Animal Care Operations

dwbramme@central.uh.edu | 713-743-9164
Animals in Research

- AAALAC accredited
- PHS assurance
- USDA registered and inspected
- Barrier rodent facility
- ABSL1 and ABSL2 facilities
- Animal behavior facility
- Excellence through Continuous Improvement
ACO Certifications

- 4 AALAS certified
- 2 board certified veterinarians
- 4 with ABSL certification
- 12 lean six sigma certifications
Training

- CITI or individual species training
- Occupational Health
- Security clearance for area
- Tour of Animal facilities

Animal Protocol

- Online IACUC form
- Institutional Biosafety form
Animal Care Operations (ACO)

Animal Care Operations provides professional veterinary medical, husbandry and proposal review services to support animals used in biomedical research. The Animal Care program at the University of Houston has been accredited by the Association for Assessment and Accreditation of Laboratory Animal Care, AAALAC International, since February 1986. The accreditation process provides continuing voluntary peer review of the Animal Care Operations program by internationally recognized experts.

The Animal Care Operations program is registered as a research facility with the United States Department of Agriculture under the Animal Welfare Act. The care and use of animals used for research at the Animal Care Operations program is based on national guidelines and Federal Regulations, including:

- The U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research and Training (PDF)
- The USDA implementing regulations, 9CFR, of the Animal Welfare Act
- U.S. Public Health Service Policy Assurance for the Humane Care and Use of Laboratory Animals (PDF) negotiated with the Office of Laboratory Animal Welfare, OLAW
Networking Break: ORPCC and ACO
Contacts

316 E. Cullen Building
Mail Code: 2015
713-743-9104
www.uh.edu/research
research@uh.edu
Thank you.