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This handbook is intended to provide Research Deans (Associate Deans for Research) with a broad overview of their roles and responsibilities in facilitating the campus research mission, as well as a central repository for central campus policies and resources. While this summary is probably not entirely comprehensive of all the issues you may face in facilitating, managing, and providing oversight of research at the College level, we hope that it is helpful and spans many of the most common policies and procedures you will need. We are here to assist you – to add to or edit this handbook, request updates, or for further information, please contact the Associate Vice President for Research at diane.pataki@utah.edu.

1.0 Research Proposal Development and Submission

1.1 Extramural proposal submission resources: To find funding, researchers can access the Pivot Research Database by logging in from the CIS Research Services page and claiming their profile. Pivot can also be used to find internal collaborators within the U of U. For an additional list of corporate and foundation funding opportunities, contact the Executive Director of Corporate and Foundation Relations at chris.ostrander@utah.edu.

Assistance is also available for proposal preparation and development. Pre-award support is available to assist researchers with understanding program requirements and preparing proposal documents. Many departments, colleges, and research units have their own internal staff and resources for pre-award services. The central campus Pre-award office provides assistance for investigators in specific departments and colleges that have requested centralized pre-award services. For questions about central pre-award services, contact the Director at Kami.McNeill@hsc.utah.edu.

Proposal review and submission is the responsibility of the Office of Sponsored Projects (OSP). OSP officers must review proposal budgets and other documents to meet institutional requirements prior to proposal submission. Before proposals are routed to OSP for review, department and college administrators must complete their own certifications through eProposal, which is accessible in CIS. To find the Sponsored Project Officer assigned to your units, see the OSP staff directory.

1.2 Internal Grants and Limited Submissions – In addition to resources to help obtain external research grants, the VPR office administers internal grant programs, limited submission programs, and research training programs to support research at the University of Utah. ADRs play different roles in each of the campuswide internal grant programs:

Research Incentive Seed Grant Program – This program, which provides seed funds to facilitate externally funded research, is distributed to colleges and in most cases is administered by ADRs.

Research Instrumentation Fund – This program provides funding for shared research equipment and is administered by the VPR office. ADRs from colleges that frequently utilize this program often serve on the selection committee.
Scholarly, Creative, and Community-Based Research Grants – The VPR office administers several smaller grant programs including the Faculty Small Grant Program, Faculty Fellows Awards, the Distinguished Research Awards, and Community Based Research Grants.

Special competitions – The VPR office periodically facilitates special programs to support campuswide strategic research initiatives. Check the VPR Funding page for current information.

Limited Submissions are external funding programs that only allow a limited number of proposals from the University of Utah. The Limited Submissions Committee reviews applications for recognized limited submissions through an internal competition administered on Infoready. If you know of a research group that is preparing to submit to a limited submission competition, please check the Infoready site to make sure that the program is listed as a limited submission. If it is not, please contact the VPR's office so that we can set up a limited competition.

Questions about the administration of intramural funding programs can be directed to Tyler Matsamas at tyler.matsamas@utah.edu.

1.3 External Grants: F&A Rates and Cost Sharing – Current campus F&A rates are available here. If you have any questions about which F&A rates should be applied to a particular project, please ask us. Detailed information about F&A policies are available from OSP. Waivers of established F&A rates are only granted under very exceptional circumstances and must be approved by departments, colleges/institutes, OSP, and the VPR.

Cost sharing refers to the portion of project or program costs that are not borne by the sponsor. Please refer researchers who wish to make cost-sharing requests to the campus cost sharing policy. Mandatory (required by the sponsor) and voluntary cost sharing are subject to different financial commitments by colleges and the VPR. In both cases, special approval is required by the department chair/director, dean, OSP, and VPR before proposals containing cost sharing commitment can be submitted, and a chartfield for cost sharing funds must be obtained before a new award can be created.

1.4 External Grants: eProposal - In most cases the ADR is the Dean’s designee for reviewing and approving the Document Summary Sheet (DSS) in eProposal. There are responsibilities and authorities associated with signing the DSS that are outlined in OSP’s Research Handbook as follows:

Each Dean is responsible for the research and other sponsored activities that are conducted in their School or College. The Dean (or their designee) is responsible for reviewing, approving and signing the DSS. The signature of the Dean on the DSS:

1. Attestst that the research or sponsored project is within the University’s mission and in the best interest of the University;

2. Attestst to the appropriateness of the activity within their School or College;

3. Acknowledgests that the research or sponsored activity conforms to the long or short range plans of their School or College;
4. Attests that the Dean is aware of the faculty’s needs in order to conduct the activities, including but not limited to: space requirements, materials, staffing, matching funds, and any hazards associated with the conduct of the sponsored activity; and

5. Attests that the Dean is committed to provide any specific requirements including matching funds if the proposal is funded, or is assured that funds are available from other sources.

The DSS must be received at OSP no later than 5 business days before the sponsor deadline. All proposal budget and supplementary documents must be finalized and submitted to OSP along with the DSS for a complete review before submission.

For more information:
- [OSP Research handbook](#)
- [Summary of the proposal submission process](#)

1.5 Proposal and Award Data – Data from the DSS are used to compile statistics on proposal submissions and awards. You can track submissions and awards for individual investigators and for a college, department, center, institute, or any unit that has an Org ID. Log into CIS and select “Research Services” and “Research Portal 2.0.” You can also access [the monthly research reports sent to the Board of Trustees](#).

1.6 Training and Professional Development for Researchers – A variety of training resources and classes – both in person and online – are available for all stages of the research process. Note that online research education courses are now delivered on Canvas, with more flexibility to customize course content and track course attendance. If you wish to make specific courses mandatory for researchers in your college, or obtain a list of which faculty have participated in research education courses, we can assist you. Research education resources include:
- [Research Education (RED)](#)
- [Principle Investigators Knowledge Assets (PIKA)](#)
- [Grant Writing Academy (GWA)](#)
- [Responsible Conduct of Research (RCR)](#)
- [VPCAT](#)
- [Foundation Fellows Program](#)

For more information, contact the Office of Research Education at [researcheducation@utah.edu](mailto:researcheducation@utah.edu).

2.0 Research Management and Oversight

2.1 Post-award Financial Management – Award documents must be processed by OSP before acceptance. Terms and conditions of research awards can only be negotiated by OSP. In general, negotiating contracts with private industry takes more time than grants from the federal government. Further details about award negotiation and acceptance can be found in
Chapter 8 of the Research Handbook. After OSP processes an award, notification is sent to the PI as well as Grants and Contracts Accounting (GCA), which will setup the award.

All PIs who receive an award should familiarize themselves with their roles and responsibilities in post-award administration:

- Executing the project as outlined in the funded proposal, using sound management techniques.
- Authorizing only those expenditures that are reasonable and necessary to accomplish the project goals and are consistent with the sponsor’s terms and conditions.
- Spending no more than the amount authorized by the sponsor for the budget period.
- Carrying out the project’s financial plan as presented in the funded proposal, or make changes to the plan following a prescribed set of policies and procedures.
- Reporting project progress to the sponsor as outlined in the terms of the award.
- Reviewing expenditures in a timely fashion to assure their appropriateness and correctness.
- Complying with all University policies and procedures related to project management and personnel practices.
- Complying with all applicable sponsor rules, regulations and/or terms and conditions of the award.

Following the setup of an award, financial accounting is managed by Financial & Business Services (FBS) and is not administrated through the VPR office. In general, a key element in the University’s system for post-award management is review and approval of the monthly accounting statements through the Evidence of Review (EOR) application available through CIS. For more information, see policy 3-003 and Chapter 9 of the Research Handbook. Contact information for the Research Management and Compliance unit in the office of Financial & Business Services can be found here.

2.2 Research on Human Subjects, Animal Care & Use, and Environmental Health & Safety – There are centralized offices and personnel on campus that provide oversight of research that involves human subjects, animals, or environmental/health hazards. *All research that involves human subjects, vertebrate animals, or hazards must follow the existing policies and procedures managed by these offices.* For many types of research in these categories, permits are required and specific protocols for compliance must be followed. If these research areas apply to your college, please become familiar with the following policies and resources:

- **Institutional Review Board (IRB)** – University of Utah guidelines and policies governing research on human subjects can be found here. Researchers who require IRB training can be directed to these training resources and to the new investigator toolkit. The IRB also has a resource page for research participants. For additional questions, contact IRB@hsc.utah.edu.

- **Institutional Animal Care and Use Committee (IACUC)** – Research involving the use of animals, particularly vertebrates, must be approved by IACUC. The principle purposes
of the IACUC are to aid investigators, laboratory personal and research facility administrators in the development of sound policies to govern the humaneness of animal experiments and to ensure compliance with current national policies. Animal researchers must enroll in online training, submit their protocols for review and monitoring, and comply with university, state, and federal policies. General information about animal research at the University of Utah can be found here. For more information, contact iacuc@ocm.utah.edu.

- **Office of Environmental Health & Safety (OEHS)** – The safety of all personnel is the first priority for research at the University of Utah. In spring 2019, OEHS was restructured and many operations were transferred from the VP of Administrative Services to the VPR office. We are in the process of creating a new EHS website, laboratory management system, training programs, and resources for researchers who work with hazardous materials.

  Currently, policy 3-300 governs university health and safety, including laboratory and research-related safety. Under this policy, university deans and department heads are responsible to:

  a. Ensure that facilities and equipment provided meet requirements for a safe work environment and activities being conducted or modified are in compliance with applicable rules, regulations and standards.
  b. Ensure individuals under their management have the authority and support to implement health and safety policies, practices and programs.
  c. Ensure areas under their management are in compliance with University, local, state and national environmental health and safety policies, practices and programs.
  d. Establish priorities and committing resources for correction of safety deficiencies.
  e. Establish procedures for dissemination of policies and other safety-related information.
  f. Establish procedures for implementation of policies.
  g. Establish a system for assessing safety performance.
  h. Immediately notify the University of Utah’s Office of Environmental Health and Safety (OEHS) department when they become aware of a violation of any University, local, state or national environmental health or occupational safety rule or regulation. This includes any contact with the local, state, and federal regulatory agencies.

  **Policy 3-300** outlines additional responsibilities of OEHS, the campus health and safety committee, and supervisors, faculty, and principal investigators. We will update this handbook as new OEHS resources, tools, and guidance are posted to assist university personnel in carrying out their responsibilities for environmental health and safety.

  For further information, contact the Executive Director of Environmental Health & Safety at fred@rso.utah.edu.
2.3 Copyright, Patents, and Inventions – The University of Utah preserves the practice of allowing faculty to own the copyrights to traditional scholarly works, and at the same time seeks to protect the university’s interest in works that are created with the substantial use of university resources. Consequently, the university owns inventions, discoveries, and improvements made by faculty, staff and certain graduate students as a result of either university employment or through the use of university resources. The university policy on ownership of copyrightable and related works can be found here.

To assist researchers and colleges with navigating intellectual property rights, the licensing of technology to third parties, and the formation of new companies to benefit the region, the Center for Technology & Venture Commercialization (TVC) is responsible for invention management, patent prosecution, licensing, start-up formation and support, equity, management and early stage funding for research commercialization.

University policies related to intellectual property and technology transfer are:

- **Policy 1-006**: Individual Financial Conflict of Interest Policy
- **Supplemental Rule 1-006**: Health Sciences Industry Relations Policy
- **Policy 5-204**: Remunerative Consultation and Other Employment Activities
- **Policy 5-403**: Additional Compensation and Overload Policy
- **Policy 7-002**: Patents and Inventions
- **Policy 7-003**: Ownership of Copyrightable Works and Related Works
- **Policy 7-004**: University Faculty Profit-Making Corporations

For individual researchers, TVC offers an Inventor’s Guide that summarizes university policies and resources. For more information, contact the Executive Director of TVC at keith.marmer@tvc.utah.edu.

2.4 Research integrity & misconduct – Research misconduct is defined as fabrication, falsification, plagiarism, or other serious deviation from commonly accepted practices in the relevant scientific community for proposing, performing or reviewing research, or in reporting research results (i.e. publications, grant submissions, presentations. The university policy on research misconduct can be found here.

You should immediately report any incidents of research misconduct to the campus Research Integrity Officer:

Erin Rothwell, PhD
Associate Vice President for Research
Office of Research Integrity and Compliance
Research Integrity Officer
801-581-7170
erin.rothwell@hsc.utah.edu
researchintegrity@utah.edu
For anonymous reporting, we also offer a secure website at [www.ethicspoint.com](http://www.ethicspoint.com)

Instructions:

1. Type in University of Utah
2. Choose University of Utah
3. Please select a category for reporting
4. A form for your report will be provided

In addition to misconduct, **research misbehaviors** include bullying, discrimination and harassment in the research context. Other examples of research misbehaviors include failing to obtain informed consent for human subjects research, failing to acknowledge missing data, ignoring outliers without acknowledgement, gifting authorship, failing to properly attribute other authors, not disclosing conflict of interests, failing to conduct an adequate literature review, or excluding data on side effects in clinical trials. Although these behaviors are not considered research misconduct, they can contribute to misconduct.

Please request an ethics consult if you have any questions or concerns, or direct your faculty to the [Office of Research Integrity and Compliance](http://www.iric.utah.edu), which offers informal, confidential research consultations to help decide courses of action and recommend appropriate resources.

Two types of research consults are available:

1. 1-hour, informal confidential
2. 15 minutes curbside consult

Other departments in the [Office of Research Integrity and Compliance](http://www.iric.utah.edu) include:

- **Conflict of Interest**
- **IRB**
- **Research Education**
- **Institutional Biosafety Committee**
- **Resource for Genetic and Epidemiologic Research**
- **Research Participant Advocacy**
- **Quality Compliance (coming soon)**

For more information contact the Associate Vice President of Research Integrity and Compliance at [erin.rothwell@hsc.utah.edu](mailto:erin.rothwell@hsc.utah.edu) or [researchintegrity@utah.edu](mailto:researchintegrity@utah.edu).

2.5 **Foreign influence and export controls** – Export controls refer to the federal regulations on the transfer of information, commodities, technology, and software that are strategically important for national security, the economy, or foreign policy. If research involves technological, biological, and chemical and military-related technologies, the government may exert control and supervision of the research and require the University to obtain a license or find and record an exception to the law before allowing foreign nationals to participate in the research, before partnering with a foreign company, or before sharing research results in any manner (including by publication or presentation at conferences) with persons who are not U.S.
citizens or permanent resident aliens. Licenses are not easily obtained and require careful preparation and an inordinate amount of lead-time.

In addition, several funding agencies and the White House Office of Science & Technology Policy have recently raised new concerns about foreign influences on academic research:

- NIH guide to avoiding inappropriate foreign influence (June 24, 2019)
- NSF Dear Colleague Letter on research protection (July 11, 2019)
- OSTP letter to the research community (September 16, 2019)
- DoD letter to universities (October 10, 2019)

The current OSP guidance for export controls can be found here and in Chapter 11.3 of the Research Handbook. To comply with more recent federal guidance, the University may be required to take additional measures to monitor disclosure of foreign travel, conflicts of interest, and conflicts of commitment involving foreign entities, while preserving our commitment to academic freedom and the open exchange of information. As of this writing, a staffing reorganization is underway with new staff dedicated to tracking conflicts of interest and conflicts of commitment. For now, please refer to university policy 7-007 for export control compliance.

3.0 Data management, publication, dissemination, and communication of research

3.1 Data management - Data management is a critical aspect of research in most disciplines. The Marriott Library provides a suite of resources and services to assist researchers with creating and implementing appropriate data management plans. Data management guides are available for the social sciences and natural sciences that guide PIs to available policies, best practices, and university resources. Electronic lab notebooks are available for researchers in health and natural sciences, and the campus offers varied data storage options. Specialized data librarians can provide further assistance and provide support in writing data management plans. To arrange a consultation about these services, contact the Research Data Management Librarian.

3.2 Scholarly publishing – Scholarly publishing is crucial to our research mission. The Eccles and Marriott Libraries can advise researchers on publishing options in a rapidly changing publication landscape. Available resources include:

- Fundamentals of academic authorship
- How to choose a scholarly book publisher
- How to choose an academic journal
- Scholarly publishing guide for the health sciences
- Negotiating publishing contracts
- Managing scholarly profiles

For further assistance with scholarly publishing, faculty should be encouraged to contact the relevant librarian for their campus and discipline. In addition, the Libraries can assist you in compiling metrics of scholarly productivity and publications in your college. If you need assistance finding library faculty, staff, or other resources, please let us know.
3.3 Other dissemination and communication of research – The VPR office can assist you in disseminating key research results and findings from your College. On campus, the Researcher’s Corner and @theU publications reach a wide audience of students, faculty and staff. To submit a research highlight, announcement, or event to our office, use the Researcher’s Corner posting forms or contact researchers-corner@utah.edu. To submit an article to @theU, see these guidelines.

We also encourage you to utilize the University Communications office to assist with research dissemination off campus. Communication specialists are available to write press releases, post on social media, and edit op-eds, pitches to reporters, and other mass media communications. Details and contacts can be found here.

If you are interested in specialized communications training for your faculty, please let us know as we continue to develop programs and communications outlets in collaboration with the Office of Marketing and Communications.

3.0 Other Resources for ADRs

The VPR office holds monthly Research Leadership Luncheons on the first Wednesday of each month to discuss new activities, programs, and events campuswide. We also hold quarterly Research Dean meetings to facilitate discussion and communications among the ADRs. If you do not receive email notices about these events please let us know right away.

Other campus directories of useful policies and procedures include:

- University regulations library
- OSP Research Handbook
- VPR Research Resources

For further information:

Vice President for Research, Andy Weyrich
Associate Vice President for Research, Diane Pataki
Associate Vice President of Research Integrity and Compliance, Erin Rothwell
Director of the Office of Sponsored Projects, Brent Brown
Executive Director of Technology & Venture Commercialization, Keith Marmer
Executive Director of Corporate & Foundation Relations, Chris Ostrander
Director of the Institutional Review Board, Ann Johnson
Director of Environmental Health & Safety, Fred Monette
Director of the Pre-Award Office, Kami McNeill
Director of Research Operations and Communications, Allison Locatelli