TO:	UNLV Faculty Members, Principal Investigators, Project Directors, and Laboratory Supervisors
FROM:	David W. Hatchett Interim Vice President of Research Gwen Marchand, Interim Associate Vice President of Research Lori Ciccone, Assistant Vice President, Office of Sponsored Programs
DATE:	T0 1 Tf-0.002 Tc jo/Povelaboratory supervisor at UNL Oversight of Individuals Engaged in Rese

PIs, PDs and/or supervisors are responsible for the oversight of all individuals engaged in research under their direction, whether or not the University compensates the students and/or employees. Likewise, PIs, PDs and/or supervisors are responsible for all students and employees training to ensure safety in the research environment while performing designated tasks. This responsibility extends to visiting scholars, trainees, postdoctoral appointees, cllegiate stud2 (d)2 (e)6(n)2 (ts)1 (,)2 (

USDA/NIFA Research Terms and Conditions) must ensure trainees fellows, participants, and scholars complete this RCR course as it is required for all research funded by these agencies. All other faculty are also encouraged to send their trainees to RCR training. Further, faculty with funding from these federal sources are also required to complete RCR education.

RCR training is offered fall and spring semesters, and instructors are experienced faculty members. Topics include: general ethical responsibilities in research; collaborative research; mentor/trainee responsibilities; acquisition, management, sharing, and ownership of data; publication practices and responsible authorship; peer review; conflicts of interest and commitment; and research misconduct. Find out more about <u>responsible conduct of research</u> training.

Misconduct in Research and Other Scholarly Activities

PIs, PDs and/or supervisors are expected to adhere to the highest ethical standards when conducting research and scholarly work. Misconduct in research and scholarly activities is contrary to the standards of the University. Read more about the definitions of misconduct and procedures for handling allegations of misconduct <u>here</u>.

Conflict of Interest (COI) and Compensated Outside Service

UNLV promotes objectivity in research by carefully reviewing any potential conflicts of interest or commitment. All UNLV faculty and staff must complete a <u>Conflict of Interest and a Compensated Outside Services Disclosure</u> annually, and at the initiation of a new project that involves a potential conflict or outside compensation. Approval must be obtained <u>prior</u> to initiating any research or compensated outside activities. Federally-funded PIs are subject to additional requirements, such as mandatory COI training.

Export Control

All research projects must be in compliance with federal export laws and regulations. The University and all its employees are required to comply with the laws and implementing regulations issued by the Department of State through its International Traffic in Arms Regulations (ITAR), the Department of Commerce through its Export Administration Regulations (EAR) and the Department of Treasury through its Office of Foreign Assets Controls (OFAC). Find out further information regarding <u>export control requirements</u>.

Responsibility for Management of Sponsored Projects

University faculty and staff members who direct sponsored projects have the principal responsibility to carefully manage these programs. The legal status of the Principal Investigator (PI) or the Project Director (PD) should be clearly understood – the PI or PD, as an individual, is not the recipient of the grant and has not entered into a contract with a sponsor. PIs and PDs do not have signature authorization to enter into a grant/contract

agreement on behalf of the institution. Rather, the Board of Regents has entered into the contract or has been awarded a grant. Grant/contract funds must be spent by the University in accordance with the proposal and as initiated by the PI or PD. Although the University signs the agreement and the University is legally and financially responsible to the sponsor, the PI or PD is responsible for the administration of the project, submission of technical reports, and proper fiscal management of the project. The Office of Sponsored Programs (OSP) provides administrative and financial services to assist in the handling of these responsibilities and has established procedures to help meet federal, state, sponsor, and University administrative requirements. However, the PI or PD are required to monitor expenditures and ensure that they are allowable based on the funding agency requirement or regulations associated with the grant.

One of the most important responsibilities of the PI or PD is to keep track of expenditures and commitments and to prevent expenditures from exceeding the budget or from being used for unauthorized purposes. Even if the responsible account holder designates other persons as "authorized signatures", s/he remains the person solely responsible for ensuring that the project is conducted within the budget or that the account balance is not exceeded. In case of overruns or account deficits, the University holds the PI or PD and their department or college responsible for covering such costs.

Additionally, the PI or PD is responsible for tracking his/her committed effort on sponsored projects, as well as approving the effort expenditures of their funded team members. PIs and PDs may not exceed 100% effort in performing all university duties, which include research, instruction, administration, and other types of effort. Extra compensation is not available on

Use of Human Subjects

All research activities involving human subjects must be reviewed and approved by the <u>Institutional Review Board (IRB) prior</u> to initiation of the project. The IRB is responsible for safeguarding the rights and welfare of subjects who participate in research activity.

All protocol submissions must be submitted through Cayuse, which can be accessed at <u>Cayuse Research Suite</u>. Information on submitting materials to the IRB can be found <u>here</u>. PIs are responsible for initiating renewals for approved protocols consistent with the expiration date noted in the initial approval letter. PIs are also responsible for updating the Office of Research Integrity regarding modifications, progress, and closure for all approved and acknowledged protocols.

All researchers are required to complete <u>training on the protection of human subjects</u>. The University's IRB requires documentation of participation in such training by all PIs conducting research involving human subjects, in accordance with the Department of Health and Human Services (DHHS) regulations.

Staff members in the Office of Research Integrity-Human Subjects may be reached via email at <u>irb@unlv.edu</u>, or by telephone at 702-895-2794.

Research on Vertebrate Animals

In accordance with federal regulations for the review of animal research protocols (Public Health Service Policy, USDA, and Animal Welfare Regulations), the University requires that all researchers who conduct research utilizing vertebrate animals must obtain written approval from the <u>Institutional Animal Care and Use Committee (IACUC) prior</u> to ordering animals and beginning work.

All protocol submissions must be submitted through <u>IRBNet</u>. For additional questions, please contact the animal care staff at <u>lacs@unlv.edu</u>.

Data Maintenance and Ownership

Research data from projects conducted at the University, under the auspices of the University, or with University resources is subject to UNLV policies on the ownership, maintenance, and management of data. The University has the proper resources to secure and manage research data, as well as protect associated intellectual property rights, and therefore is the appropriate administrator of such data. Consequently, the rights, responsibilities, and principles that determine how research data should be handled ultimately belong to the University. The University and researchers must work in partnership to fulfill these obligations.

Intellectual Property

The Nevada System of Higher Education, on behalf of UNLV, <u>owns the intellectual property</u> (IP) developed by UNLV personnel. UNLV's <u>Office of Economic Development</u> (OED) is

Space managed by the VPR is reviewed annually, or as necessary, by the VPR Space Committee. Space allocation discussions are initially focused around research expenditures, proposal activity, and student support and matriculation, and lab activity and efficiency. Other factors may be considered if an allocation warrants further consideration. Based on the Research Space Committee's recommendations, the VPR will make space decisions and share them with the appropriate dean(s) and the Office of Space Management. It is the dean's responsibility to notify affected faculty and discuss alternative research space options within their division, if required. The overall needs of the campus will take priority over the individual needs of units.

Committee Composition – Voting Members

- Dean of the College of Engineering or designee
- Dean of the College of Sciences or desig mat3suy (d ds)- (r)-1 (d)-14 ellegean of the College of Engineering of

supervision;Ensuring that each individual complies with the standards for safe behavior in the laboratory;

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Compliance with the <u>regulations for the use of select agents</u> (certain biological agents and toxins) is required in research. All research utilizing select agents is controlled by the Centers for Disease Control and/or the United States Department of Agriculture (USDA).

If you wish to work with or locate one of these agents, <u>contact Risk Management and Safety for</u> <u>assistance</u>.

Institutional Biosafety Committee

Researchers conducting either sponsored or non-sponsored research with recombinant DNA, infectious agents, toxins, primary human cell lines, human stem cells, human blood, or human tissue must have their research approved in advance by the Institutional Biosafety Committee (IBC). Approvals are valid for three years. It is the responsibility of the PI or PD to obtain renewals from the IBC after the initial three-year approval. All protocol submissions must be submitted through IRBNet. Information on submitting materials to the IBC can be found <u>here</u>.

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