



Research Misconduct

All allegations of research misconduct (falsification, fabrication, or plagiarism) should be reported to the Office of Research Integrity. Once an allegation is received subsequent steps will follow the policy and regulations established by the Board of Regents (P10.07.060).

Responsible Conduct of Research (RCR)

All researchers are expected to abide by professional and ethical standards appropriate to their discipline. Principal investigators are expected to lead by example and to mentor trainees in RCR. Some sponsors require supported trainees to complete formal RCR training; contact the Office of Research Integrity for more information on RCR topics, upcoming training events, and sponsor requirements.

Supervising Minors

The University encourages the involvement of k-12 students in age appropriate activities on campus. However, certain procedures must be followed before minors (under 18) are allowed access to a research lab. For more information visit the Environmental Health, Safety & Risk Management website or contact the UAF Risk Manager.

Time & Effort Reporting

Principal investigators are responsible for providing reasonable estimates of the effort necessary to carry out the work described in a proposal. If funded, the Principal Investigator is responsible for ensuring that personnel salary distributions reflect actual time spent on project work. For help with proposal preparation contact the Office of Sponsored Programs. Contact the Office of Grants and Contracts Administration for post-award changes to effort reporting or allocations.

Resources

For information or assistance in identifying or meeting your compliance requirements, contact the following offices:

Research Integrity

Phone: 907-474-7800
Email: uaf-ori@alaska.edu
Homepage: <http://www.uaf.edu/ori/>
IACUC: <http://www.uaf.edu/iacuc/>
IRB: <http://www.uaf.edu/irb/>
IBC: <http://www.uaf.edu/ibc/>

Animal Resources Center

Phone: 907-474-7020
Email: jeblake@alaska.edu

Sponsored Programs (Pre-Award)

Phone: 907-474-1851
Email: uaf-osp@alaska.edu
Homepage: <http://www.uaf.edu/osp/>

Intellectual Property and Commercialization

Phone: 907-474-2605
Email: uaf-oipc@alaska.edu
Homepage: <http://www.uaf.edu/oipc/>

Grants & Contracts Administration (Post-Award)

Phone: 907-474-7301
Email: uaf-ogca@alaska.edu
Homepage: <http://www.uaf.edu/grcon/>

Environmental Health, Safety & Risk Management

Phone: 907-474-5413
Email: uaf-ehsrsm@alaska.edu
Homepage: <http://www.uaf.edu/safety/>

Procurement and Contract Services

Phone: 907-474-7315
Email: john.hebard@alaska.edu
Homepage: <http://www.uaf.edu/procurement/>

UA General Counsel

Phone: 907-450-8080
Email: legal@alaska.edu
Homepage: <http://www.alaska.edu/counsel/>

UAF is an affirmative action/equal opportunity employer and educational institution and is a part of the University of Alaska system.



PRINCIPAL INVESTIGATOR RESOURCE GUIDE

http://uaf.edu/files/ori/PI_Guide_2015.pdf

Research and scholarly activities are subject to a wide range of Federal and State laws and regulations, as well as Sponsor and Institutional policies and procedures. It is the responsibility of the University and the Principal Investigator (PI) to insure that compliance requirements are met.

The information on the following pages is a brief overview of compliance issues that may apply to your activities. This guide is designed as a quick reference concerning these topics. Please refer to the resources on the back for more detailed information.

The Office of Research Integrity
212 West Ridge Research Building
Tel: 907-474-7800



Allowable Costs & Financial Oversight

The PI is responsible for ensuring that expenses charged to a project are reasonable and allowed by the terms of the award. Unit staff can provide valuable assistance, but the Office of Grants and Contracts Administration is ultimately responsible for financial oversight.

Animal Care & Use

Use of live vertebrates must be reviewed and approved by the Institutional Animal Care and Use Committee (IACUC). Personnel must complete training and enroll in the animal facility Occupational Health & Safety Program prior to working with live animals. Researchers should contact the Animal Resources Center regarding veterinary support, acquiring animals and accessing animal research facilities. Animal welfare concerns should be directed to the Office of Research Integrity (ORI). For more information contact ORI or visit the IACUC website.

Biohazards

Work with biohazards (infectious agents, recombinant DNA, or genetically modified organisms) is subject to review and approval of the Institutional Biosafety Committee (IBC) and must be conducted in a space approved by the Biosafety Officer. Personnel must complete project specific training before working with biohazards. For more information contact ORI or visit the IBC website.

Closeout

Most sponsors specify closeout requirements in the award document. Contact the Office of Grants and Contracts Administration for information on particular sponsor or award requirements.

Conflict of Interest

All personnel must report potential conflicts of interest to the appropriate office. Conflicts are not inherently bad and do not typically preclude participation on a given

project. Once identified, UAF will work with the individual to develop a conflict management plan. Contact the Office of Research Integrity or the Office of Sponsored Programs for more information.

Cost-sharing (Match)

Cost-sharing is a commitment made by UAF to provide specific resources to support a project. UAF is only responsible for meeting the cost-sharing commitment if the project is ultimately funded. If you plan to respond to a solicitation or announcement that requires cost-sharing contact the Office of Sponsored Programs for assistance.

Export Controls

Export control regulations are administered by several Federal agencies and impose access, dissemination, and participation restrictions on the transfer or sharing of controlled items, information, and services. These export regulations also restrict activities with certain countries. For more information contact ORI or visit the ORI website.

Human Subject Research

The Institutional Review Board (IRB) is responsible for protecting the rights of participants in research projects. Researchers must receive an exemption or IRB approval and complete training before recruiting or enrolling participants, or working with a participant's identifiable data. Concerns about participant protections should be directed to ORI. For more information contact ORI or visit the IRB website.

Intellectual Property (IP)

The Office of Intellectual Property and Commercialization (OIPC) works with UAF employees to facilitate and protect UAF's innovative activities and bring the results into public use through commercialization. OIPC assists faculty with IP issues, such as copyright, patents, and non-disclosure agreements on behalf of UAF. For more information contact OIPC or visit the OIPC website.

Laboratory & Field Safety

There are many hazards associated with conducting field or laboratory based research. It is the PI's responsibility to ensure that hazards are properly identified, labeled, and stored, and that personnel complete all required safety training before beginning work in the lab or going into the field. The PIs must also make sure personnel are provided and use personal protective equipment. For more information visit the Environmental Health, Safety & Risk Management website or contact a safety officer.

Occupational Health

UAF maintains an Occupational Health & Safety Program (OHSP) for employees. This program provides medical services as required by the Occupational Safety and Health Administration at no cost to the employee. The OHSP is the responsibility of Environmental Health, Safety & Risk Management (EHS&RM); more information is available on the EHS&RM website or from the Industrial Hygienist.

Radiation Safety

Use of radioactive materials and sources is subject to the approval of the Radiation Safety Officer (RSO) and UAF's Nuclear Regulatory Commission license. More information is available on the Radiation Safety page of the Environmental Health, Safety & Risk Management website.

Reporting Requirements

Most sponsors require progress reports on supported activities in addition to financial reports. It is the PI's responsibility to submit technical/progress reports to the sponsor and provide copies to their unit business office in a timely manner. Financial reports are prepared and submitted by the Office of Grants and Contracts Administration. Contact the assigned grant technician for more information.