HANDBOOK FOR NEW FACULTY

Speeding up the Transition to Pitt

The Office of Research, Health Sciences welcomes new faculty members to the University of Pittsburgh Schools of the Health Sciences. Whether you are a newly appointed junior faculty member in your first tenure-track appointment or an established investigator, establishing a research program at a new institution is an exciting but sometimes challenging task. This handbook has been designed to convey to you University expectations and requirements to ensure that you may start your research program with a minimum of delays or complications. In the following pages, you will find details about important policies, training requirements, and contact information that you will need, whether you are setting up your first laboratory or transferring your research group from another institution. Our goal is not only to inform you of the policies themselves, but also to explain how such policies and requirements make for a successful research enterprise.

Office of Research, Health Sciences

March 2016

BEFORE YOU MOVE

As soon as you know that you will be transferring to the University of Pittsburgh, there are a number of processes that you should initiate as soon as possible, to minimize any delay. These might include (i) the physical transfer of animals, lab equipment, or reagents; (ii) the administrative transfer of research grants, animal or human subject research protocols, or the establishment of new protocols at the University of Pittsburgh; and (iii) the establishment of work permits or visas for members of your research staff. *Your most useful resource is the administrative staff of your host department, who has probably overseen this process multiple times.*

RESEARCH GRANT TRANSFER

Transferring a research grant from another institution to the University of Pittsburgh requires coordination between the PI, the original grantee institution, the University, and the funding organization (NIH, for example). In most cases, NIH will allow grants to be transferred with the PI. However, individual Institutes may impose limitations on grant transfer, such as permitting transfers only on the anniversary date of the original award or disallowing transfers late in the budget period. Since grant transfer may potentially involve movement of animals, materials, and personnel, the establishment of subcontracts, MTAs, *etc*., the transfer process should be started as soon as the investigator commits to moving to the University. In addition to obtaining approval from the relinquishing institution and the funding organization, the PI *must also fulfill all of the University of Pittsburgh's administrative requirements (including IACUC and IRB approvals) before funds can be transferred.* Therefore, it is critical that the process of transferring grants is initiated as early as possible after the recruit commits to moving to the University of Pittsburgh.

The mechanism for grant transfer is outlined in the following **Checklist**:

1. **Release of Grant:**
    a. Confirm current institution will release the grant.
    b. Contact the sponsor to confirm that grant is transferrable.
2. **Resources:**
    a. Confirm that University of Pittsburgh facilities/space (including animal space/caging, if necessary) are available for completion of the proposed work.
    b. Confirm the availability of required core equipment.
3. **Personnel :**
    a. Process the appropriate paperwork to create new faculty and/or post-doc positions, if applicable.
    b. Review potential visa issues for those individuals who may be transferring with the PI.
4. **Equipment:**
    a. Confirm that the original grantee institution will release equipment purchased with the PI's grant. If not, initiate purchases for equipment necessary to complete the work.

5. **Compliance issues:**
    a. Address all compliance/training issues:
        i. Conflict of Interest (COI) training.
        ii. Internet-based Studies in Education and Research (ISER) training modules.
        iii. Submit IACUC protocols if animals are involved in research.

iv. Submit IRB protocols if human subject research is involved in research.

b. Process or renegotiate Material Transfer Agreements.

c. Contact Environmental Health and Safety for special laboratory needs and to identify necessary training.

6. **Animal transition:**
   a. Arrange for animal quarantine, if necessary.
   b. Address issues of temporary boarding issues if space is not currently available for the animals.
7. **Transfer paperwork:**
   a. Relinquishment statement from previous institution was received by funding agency.
   b. Final Invention Statement was submitted to funding agency by previous institution.
   c. Revised PHS 398 with appropriate changes was submitted to funding agency.
8. **Study records were duplicated as required by sponsor**

The **Office of Research** administers sponsored research at the University of Pittsburgh and will assist new recruits in transferring their grant funding to the University. Having committed to moving to the University of Pittsburgh, new investigators should also consider processing any new grant applications through the University. Please contact Dr. Jennifer Woodward, the Associate Vice Provost for Research Operations, for further information.

Web: http://www.research.pitt.edu/

Email (General): offres@pitt.edu

(Dr. Jennifer Woodward): jew7@pitt.edu

Phone (General): 412-624-7400

(Dr. Jennifer Woodward): 412-624-7405

TRANSFERRING TO PITT - MTAS/PATENTS

Prior to the transfer of material, Material Transfer Agreements (MTAs) must be signed. MTAs address issues of liability, publication, and intellectual property rights that may result from research projects. In addition, limits on the use of the materials are frequently included in MTAs. The University of Pittsburgh's **Office of Research** is designated as the office where research contracts can be executed on behalf of the University, and this includes MTAs. When transferring materials to the University of Pittsburgh, investigators must initiate MTAs with the relinquishing institution.

The University of Pittsburgh has signed the Uniform Biological Material Transfer Agreement (UBMTA). The UBMTA is used by participating public and nonprofit organizations to record individual exchanges of biological material for research purposes via a simplified process that entails acceptance of MTA terms by signatory organizations, thus eliminating the need for individual negotiations. The goal of the University's adoption of the UBMTA is to reduce both the administrative burden of MTA negotiations and to shorten the time it takes to execute MTAs for biological materials. For institutions that have signed the UBMTA Master Agreement, applicable materials can be transferred under the terms of the UBMTA upon execution of an Implementing Letter for the particular transfer.

Preparation and activation of MTAs between your institution and the University of Pittsburgh should be initiated as soon as possible after you accept your new position, as there are a number of regulatory and compliance issues that need to be resolved before the MTA can be processed. These include IACUC or IRB approvals (more details below). Use the Research Guidance Tool at http://www.rcco.pitt.edu/ResearchAnalyzer.php to determine what paperwork must be completed before your MTA can be finalized.

Web: http://www.research.pitt.edu/ccc-material-transfer-agreements

Email: clincorp@pitt.edu

Phone: 412-624-7400

FOREIGN NATIONALS TRANSFERRING TO PITT

As a result of the international nature of research, a significant number of Pitt staff members and students are citizens of other countries, who work in the United States under a variety of visa types, most of which are sponsored by, and are specific to, the University of Pittsburgh. Foreign nationals transferring to the University from other institutions, either as newly hired faculty members or as members of their research groups, need to be aware of the visa requirements involved. It is likely that they will need to apply for new visas sponsored by the University. The University of Pittsburgh **Office of International Services (OIS)** is available to assist incoming staff and students in obtaining the appropriate visa paperwork for continuing their research at the University. Since this can take some time, it is important to initiate the process as soon as an individual knows he or she will be moving to the University of Pittsburgh. The host department administrator can assist in establishing contact and arranging for meetings with OIS.

Web: http://www.ois.pitt.edu/

Email: ois@pitt.edu

Phone: 412-624-7120

RESEARCH ANIMAL TRANSFER AND USE

The transfer and use of research animals is highly regulated by local, state, and federal policies and laws. All animal movement and use at the University of Pittsburgh is regulated by the **Institutional Animal Care and Use Committee (IACUC),** and facilities and operations are managed by the **Division of Laboratory Animal Resources (DLAR)**. These bodies (i) ensure compliance with animal use laws and regulations, (ii) safeguard the welfare of the animals and the specific pathogen-free status (biosecurity) of the University animal colonies, and (iii) provide training and information to researchers who plan to conduct animal-based research. The smooth transfer of animals to the University of Pittsburgh, and the timely establishment of an animal use program here, requires communication and cooperation between the investigator, the exporting institution and the University of Pittsburgh. *Such arrangement should be initiated as soon as possible after the investigator commits to moving to the University.*

Bringing animals into Pitt. The University requires that *all* animals arrive with proof of specific pathogen-free status and accompanied by health history reports from the exporting facility. Rodents received from outside facilities (with the exception of approved vendor sources) must undergo a 12 week quarantine period or embryo-transfer rederivation before being permitted into University of Pittsburgh facilities. Other species, such as nonhuman

primates, also require extensive health history review and quarantine before release into the general animal population. Specifics about the requirements for importation of animals into the University of Pittsburgh animal program can be found on the DLAR website (see below). Additionally, all newly appointed faculty members or faculty recruits who perform animal-based research and who are considering employment with the University of Pittsburgh *must* contact Dr. David Schabdach, Senior Executive Director, DLAR and University Attending Veterinarian to discuss their research, animal housing requirements, and the animal related services available from the DLAR.

The DLAR also maintains a website to provide the research community with information, policies, and important links that will assist them with establishing and maintaining robust research programs. A Virtual Handbook for Researchers with Animal Subjects is available at http://www.dlar.pitt.edu/virtualhandbook/. The handbook will walk investigators through a step by step checklist of requirements that must be completed before any animals can be ordered through the DLAR.

Web: http://www.dlar.pitt.edu/

Email (General): dlar@pitt.edu

(Dr. David Schabdach): dschab@pitt.edu

Phone (General): 412-648-8950

(Dr. David Schabdach): 412-648-8166

Conducting animal-based research at the University of Pittsburgh. All animal use at the University of Pittsburgh must conform to protocols submitted to, and approved by, the IACUC. The IACUC reviews ~2000 protocols every year, so obtaining approval may take as long as several months. Therefore, obtaining IACUC approval for proposed work should be initiated as early as possible. Advice concerning the establishment of a new IACUC protocol, or transfer of an IACUC protocol between institutions should be sought from the IACUC chair (see below).

The University of Pittsburgh has recently introduced an on-line IACUC protocol submission system, called Animal Research Online (ARO) http://www.aro.pitt.edu/. This system streamlines and accelerates the IACUC protocol submission and review process. Completing an on-line IACUC protocol submission requires an **HSConnect** account (see below) and completion of the relevant **Internet-based Studies in Education and Research (ISER)** modules (see below).

The ARO on-line submission system allows new recruits with HSConnect accounts, having completed the requisite on-line training modules, to be granted editing access, so that a protocol can be prepared and submitted in advance of the new recruit's arrival at the University. Access to the ARO system can be obtained by contacting the IACUC by phone or email.

Information about IACUC policies can be obtained at the IACUC web site or by directly contacting the IACUC Chairman, Dr. Frank Jenkins.

Web: http://www.iacuc.pitt.edu/

Email (General): iacuc@pitt.edu

(Dr. Frank Jenkins): fjenkins@pitt.edu

Phone (General): 412-383-2008

(Dr. Frank Jenkins): 412-623-3323

CLINICAL RESEARCH

Conducting clinical research at the University of Pittsburgh. The University's Human Research Protection Office (HRPO) promotes the safety and protection of individuals involved in research by providing support, guidance, and education to facilitate ethical and scientifically sound research. HRPO oversees the functions of the University Institutional Review Board (IRB) and administrative review process. All research involving human subjects must be approved by the IRB. IRB protocols can be completed and submitted through the Online Submission for Institutional Reviews (OSIRIS) web-based submission system at https://www.osiris.pitt.edu, using your HSConnect login and password (see below).

Web: http://www.irb.pitt.edu/

Email: askirb@pitt.edu

Phone: 412-383-1480

The University's **Clinical and Translational Science Institute (**CTSI) Research Facilitator Program can provide general assistance for any aspect of the research project. To submit a request for assistance, please contact a CTSI Facilitator.

Web: http://www.ctsi.pitt.edu/

Email (Pat Karausky): plk1@pitt.edu

(Kristin Komazec): komazecka2@upmc.edu

(Susan Sandusky): sls127@pitt.edu

(Dr. Karen Schmidt): kschmidt@pitt.edu

(Shannon Valenti): sln25@pitt.edu

Phone (Pat Karausky): 412-383-1171

(Kristin Komazec): 412-864-2540

(Susan Sandusky): 412-383-1036

(Dr. Karen Schmidt): 412-383-5808

(Shannon Valenti): 412-864-3474

HSCONNECT

An HSConnect account allows individuals access to various administrative, educational, and research oriented websites hosted by the University (for example the internet based research modules, DLAR website, Conflict of Interest SuperForm, and the IACUC website, among others). As described above, HSConnect account holders can utilize the University's on-line

IACUC protocol submission system. Investigators should visit the HSConnect website to create an account.

Web: https://www.hsconnect.pitt.edu/HSC/home/create-account.do

Submit a request: http://support.health.pitt.edu/cs/?a=HSConnect

Phone: 412-648-2222

INTERNET-BASED STUDIES IN EDUCATION AND RESEARCH (ISER) MODULES (ALL RESEARCHERS)

In order to meet federal requirements for formal training related to the practice of research and to ensure that research is procedurally and ethically sound, the University requires formal training in Research Practice Fundamentals. To make the training most efficient and to avoid duplication of effort, much of the training is delivered via a set of instructional modules available over the internet. Individuals must complete only the modules relevant to the research in which they are involved and retake them as needed. Researchers are responsible for maintaining current certification. The University of Pittsburgh IRB has migrated all required training modules for Human Subjects Research to the CITI Program (https://www.citi.pitt.edu/citi/about.aspx). You may transfer your CITI Certifications from your former institute by first logging into ISER and then UPitt's CITI Portal.

Web: https://cme.hs.pitt.edu/ISER

Submit a request: http://support.health.pitt.edu/cs/?a=modules

MOVING LABORATORY EQUIPMENT AND MATERIALS

Depending on the arrangement made with your new department at the University of Pittsburgh, your department may cover the costs of shipping the contents of your laboratory. The Pitt **Office of Travel Management** can make arrangements to transport materials and equipment. Please see http://www.pts.pitt.edu/Travel/relocating.html for guidelines on packing chemicals, frozen materials and equipment for transport.

Web: http://www.pts.pitt.edu/Travel/index.html

Email: travel@pitt.edu

Phone: 412-624-4433

ONCE YOU HAVE ARRIVED

The best source of information concerning University of Pittsburgh procedures and requirements is the departmental administrator, who has probably overseen the process of establishing incoming faculty members in their new positions numerous times already. The information provided below will further assist the faculty member in getting his or her research program up to speed.

OFFICE OF RESEARCH, HEALTH SCIENCES (OORHS)

All recently-arrived faculty members are strongly encouraged to visit the OORHS web site (http://www.oorhs.pitt.edu/) and meet with OORHS staff. This office offers a variety of services to facilitate the research and funding activities of faculty members of the Schools of the Health Sciences. These activities include:

- Compiling and disseminating research funding announcements, federal and University policy changes.
- Administering institutional grant programs, including the Competitive Medical Research Fund (CMRF), and the Health Science Bridge Funding program.
- Offering editorial assistance, grantsmanship advice, and scientific review of grant applications.
- Facilitating the preparation of multi-investigator and multi-disciplinary grant applications.
- Administering the development and use of research resources and core facilities.

Please contact Dr. Jeremy Somers, Scientific Director of OORHS, for more information.

Web: http://www.oorhs.pitt.edu/

Email (Dr. Jeremy Somers): somersj@pitt.edu

Phone (Dr. Jeremy Somers): 412-648-2367

RESEARCH OVERSIGHT COMMITTEES

Transfer and use of human biological materials. The Office for Oversight of Anatomic Specimens (OOAS) was created to ensure that human biological materials are used in a manner that is ethical and that maximizes the dissemination of the research data generated with those materials. Researchers that collect or store human biological samples (defined as, but not limited to, tissue, organs, blood, plasma, serum, DNA, RNA, proteins, cells, urine, and other body fluids) must be registered with the University of Pittsburgh Health Sciences Human Biological Materials Database that is maintained by the OOAS. Before transferring samples to the University, researchers should contact Shoshana Matusak, Director, OOAS to discuss requirements and to obtain the necessary forms.

Web: http://www.ooas.pitt.edu/default.asp

Email (Shoshana Matusak): matusaksa@upmc.edu

Phone (Shoshana Matusak): 412-802-8280

Environmental Health and Safety (EH&S). The Department of EH&S is responsible for implementing training programs to meet the standards set by the Occupational Safety and Health Administration and to ensure the health and safety of individuals at the University of Pittsburgh. EH&S hosts web-based and face-to-face training sessions that cover a variety of

topics. Some training modules are required before individuals may participate in research at the University. Researchers should contact EH&S to determine what training is required of them and/or their research personnel before beginning any work in the laboratory.

In addition, EH&S has developed a novel process to gather and review information regarding the use of biological and chemical agents at the University. Investigators are required to fill out an Agent Registration Workbook to register the use of these materials. Information about the workbook can be found at http://www.ehs.pitt.edu/biological/workbook.html. For more information, please contact Jay Frerotte, the Director of the Department of EH&S.

Web: http://www.ehs.pitt.edu/

Email (General): safety@ehs.pitt.edu

(Jay Frerotte): jmf2@pitt.edu

Phone (Jay Frerotte): 412-624-9505

Institutional Biosafety Committee (IBC). The University of Pittsburgh Institutional Biosafety Committee is responsible for reviewing and ensuring compliance with the ***NIH Guidelines*** on all research activities that involve recombinant DNA (rDNA) including human gene transfer clinical trials. All research involving rDNA must be registered with the Institutional Biosafety Committee. Applications must be received by the IBC by the first of the month in order to be reviewed at the IBC meeting two months later. Because approval may take more than two months, investigators using rDNA are encouraged to contact Beverly Harding, Director of the IBC, to obtain necessary forms and register their research as soon as possible.

Web: http://www.ibc.pitt.edu

Email (General): ibo@pitt.edu

(Beverly Harding): beverlyh@pitt.edu

Phone (General): 412-383-1768

(Beverly Harding): (412) 383-1766

Dual Use Research of Concern Committee (DURC). The University of Pittsburgh's DURC Committee is responsible for oversight of all life sciences research that meets the scope of DURC. DURC is life sciences research that, based on current understanding, can be reasonably anticipated to provide knowledge, information, products, or technologies that could be **directly misapplied** to pose a significant threat with broad consequences to public health and safety, agricultural crops and other plants, animals, the environment, or national security. Oversight by the DURC Committee includes the identification of life sciences research that raises dual use concerns, as well as the implementation of measures to mitigate the risk that DURC is used in a manner that results in harm. For more information about dual use research or DURC, please contact the Institutional Biosafety Office.

Web: http://www.rcco.pitt.edu/durc/

Email: ibo@pitt.edu

Phone: 412-383-1768

Human Stem Cell Research Oversight Committee (hSCRO). The primary purpose of the University of Pittsburgh's hSCRO Committee is to ensure that all federal and Commonwealth of Pennsylvania regulations governing the conduct of human embryonic stem cell research are met and that other human stem cell research is conducted in accordance with the general principles expressed in the National Academies' ***Guidelines for Human Embryonic Stem Cell Research***, with the policies and procedures adopted by the hSCRO Committee, and with other relevant University of Pittsburgh research policies. Human embryonic stem cell research conducted at the University must also comply with the applicable NIH Guidelines for Human Stem Cell Research.

All human embryonic stem cell research is subject to hSCRO review, and hSCRO review is required for certain nonembryonic human stem cell research. The type of review depends on the nature of the research. All investigators involved in any type of human stem cell research should contact the hSCRO Office to discuss policies and oversight before beginning any human stem cell research at the University. Registrations received by the submission date of any given month will be reviewed at the meeting the following month (see website for specific dates). For more information, please contact Dr. Eric Lagasse, the Chair of the hSCRO Committee.

Web: http://www.rcco.pitt.edu/hscro/

Email (General): escro@upmc.edu

(Dr. Eric Lagasse): lagasse@pitt.edu

Phone (General): 412-383-2826

(Dr. Eric Lagasse): 412-624-5285

Radiation Safety Office. The University of Pittsburgh Radiation Safety Office is responsible for ensuring that all sources of licensed radioactive material and ionizing radiation producing equipment, which fall under its responsibility, are used optimally and safely. The office also ensures that these sources of ionizing radiation are used in compliance with applicable federal and state regulations and with institutional licenses. Radiation safety training is required for all personnel using radioactive materials or radiation producing equipment at the University of Pittsburgh and affiliated institutions. Researchers should contact the Radiation Safety Office to identify upcoming training dates. For more information, please contact Michael Sheetz, the University Radiation Safety Officer.

Web: http://www.radsafe.pitt.edu/

Email (General): radsafe@pitt.edu

(Michael Sheetz): msheetz@pitt.edu

Phone (General): 412-624-2728

(Michael Sheetz): 412-624-2726

CONFLICTS OF INTEREST (ALL RESEARCH)

Potential conflicts of interest must be addressed to ensure that they do not threaten the integrity of the University's scholarship, research, instruction, evaluation, and administration. For those reasons, and to comply with federal regulations dealing with financial conflicts, the University created Policy 11-01-03 *Conflict of Interest Policy for*

Faculty, Scholars, Researchers, Research Staff/Coordinators. This policy requires disclosure and management of the outside relationships and organizational commitments of its investigators; it was updated in August 2012 to reflect changes in federal regulations governing research funded by agencies of the Public Health Service.

All researchers must complete and submit a conflict of interest disclosure upon appointment, annually by April 15, and whenever outside interests change. For information about filing disclosures, visit here: http://www.coi.pitt.edu/directive.htm.

For information related to Public Health Service-funded Investigators, visit here: http://www.coi.pitt.edu/PHS/index.htm.

The Industry Relationship Policy governs interactions between faculty, staff, students, and trainees of the Schools of the Health Sciences and domestic UPMC employees and Industry.

For more information, please contact David Wehrle, Director, Conflict of Interest Office.

Web: http://www.coi.pitt.edu/index.htm

Email (David Wehrle): wehrledt@upmc.edu

Phone (David Wehrle): 412-383-1774

CTSI RESPONSIBLE CONDUCT OF RESEARCH (RCR) CENTER

The CTSI RCR Center was created to support and enhance the RCR education provided to all researchers at the University of Pittsburgh and to meet NIH training grant requirements. The RCR Training Center not only offers RCR training opportunities but also provides information about RCR educational programming throughout the University and resources for education and training of other investigators. For information about RCR Training Center Workshops, please go to http://www.ctsi.pitt.edu/RCR/courses.shtml or contact Dr. Karen Schmidt at CTSI for more information.

Web: http://www.ctsi.pitt.edu/RCR/index.shtml

Email (Dr. Karen Schmidt): kschmidt@pitt.edu

Phone (Dr. Karen Schmidt): 412-383-5808

HIRING NEW STAFF

The **Office of Human Resources (HR)** oversees all aspects of recruiting/hiring, compensation, benefits administration, employee relations, labor relations and affirmative action for staff. The University lists available job openings on its on-line employment system Pittsource. While the Investigator ultimately selects the candidate, to ensure a fair and transparent employment process, HR coordinates the position listing, the interview process, and, ultimately, the issuance of a formal offer to the successful candidate. HR will work with the Investigator and departmental administrator to formulate a comprehensive recruitment strategy, which can include prescreening prospective candidates, providing advice on additional advertising options, developing a diversity initiative, and assisting in developing interview questions.

Web: http://www.hr.pitt.edu/

Phone: 412-624-7000