

## UTHSCSA LAB TRANSFER INFORMATION

The information provided below is a list of offices and contacts that are needed for various approvals to move a lab to UTHSCSA.

### **Animal Transfer to UTHSCSA**

<http://research.uthscsa.edu/lar/>  
[LAR@uthscsa.edu](mailto:LAR@uthscsa.edu)  
113D Medical School Building  
210-567-6166

**Form:** “Request for Order of Experimental Animals” (on the website)

Dr. Martha Hanes is responsible for contacting veterinarians at outside institutions to obtain animal reports, transfer of animals, quarantine and assigning transferred animals to LAR. Dr. Hanes also oversees the LAR lab. She manages the animal intake, the quarantine area and transfer once the 9 week quarantine period is completed and the veterinarians have given approval. Documents and forms are located on the LAR website.

Martha A. Hanes, DVM  
Associate Director of Pathology Services  
[hanesm@uthscsa.edu](mailto:hanesm@uthscsa.edu)  
210-567-6166

### **Institutional Animal Care Program (IACP) / Institutional Animal Care and Use Committee (IACUC)**

<http://research.uthscsa.edu/iacuc/>  
<http://research.uthscsa.edu/iacuc/training.shtml>

[iacp@uthscsa.edu](mailto:iacp@uthscsa.edu)  
Greehey Campus  
Research Administration Building, Room 2.104  
8403 Floyd Curl Drive  
San Antonio, Texas 78229  
210-567-8260

**Form:** “Application for the Use of Laboratory Animals”  
<http://research.uthscsa.edu/IACUC/secure/general.shtml>

University policy requires that all projects which use animals for research, testing or teaching be reviewed and approved by the Institutional Animal Care and Use Committee (IACUC) prior to initiation of such activities. There are several steps investigators must take to secure IACUC

approval. New investigators must complete and submit for review, the “Application for the Use of Laboratory Animals” to the Office of the Institutional Animal Care Program ([IACP@uthscsa.edu](mailto:IACP@uthscsa.edu)). Additionally, all personnel that will come in contact with animals must be listed on an IACUC approved protocol and must complete the mandatory CITI (Collaborative Institutional Training Initiative) program training prior to handling animals. Investigators transferring to UTHSCSA from outside institutions can submit protocols prior to their arrival at UTHSCSA by having a current UTHSCSA investigator sign off as a Co-PI on the protocol.

Contact the IACP office for any assistance.

Rudy Trevino, MS CPIA  
Acting Associate Director  
Institutional Animal Care Program  
[trevinor3@uthscsa.edu](mailto:trevinor3@uthscsa.edu)  
210-567-8260

### **Environmental Health and Safety (EHS)**

<http://research.uthscsa.edu/safety/>

1.343T Dental School Building

210-567-2955

**Form:** “Hazardous Assessment Form” (issued to new faculty/staff at orientation)

**Form:** “New PI Risk Assessment Form” (email or call EHS)

**Form:** “New Employee Exposure Assessment” (to determine required health & safety training by evaluating use of, and exposure to, potentially hazardous agents in workplace; located on EHS website)

**Form:** “Transfer Employee Exposure Assessment” (to determine required health & safety training by evaluating use of, and exposure to, potentially hazardous agents in workplace; located on EHS website)

**EProtocol:** information and access is located on the Environmental Health & Safety website (<https://uthscsa.keyusa.net/>). Additionally, details regarding guidelines for submission are available on the Safety website, <http://research.uthscsa.edu/safety/chemicalcommittee.shtml>.

EHS accepts only applications that are submitted through eProtocol (system training is required) for the biological and chemical divisions. A HSC username/password can be requested before the official start date or the protocol can be submitted under an existing faculty member’s name and later transferred to the new PI.

Protocol approvals are based on the agents (bio, chemical, radioactive) investigators are using. We recommend new faculty/staff members or PIs meet with Valerie Fey or Rebecca Bloodworth to complete the initial risk assessment to determine what applications/forms will be necessary for submission as well as any training that is required to facilitate the process.

EHS must tour and approve space (which is part of the application) before the safety protocols receive final approval. If lab space has been assigned, EHS can look at it beforehand; otherwise EHS puts the application on pending status until the space has been assigned and approved.

The Safety Manager for each division pre-reviews the applications prior to sending it to the committee. The pre-review can take a few weeks to several months. The Committee usually takes 2-3 weeks for review.

- Biological Safety Division  
<http://research.uthscsa.edu/safety/biological.shtml>

***Lentiviral vectors and human tissue approval form:*** “IBC Biosafety Application” – must use eProtocol form

The Biological Safety Division provides expertise and consultation on issues related to biological safety with the goal of maintaining a safe workplace, preventing environmental contamination and complying with applicable federal, state and local requirements. Principal Investigators who want to work with Lentivirus and Lentiviral vector systems must have approval through the Institutional Biosafety Committee.

Valerie Fey  
Biological Safety Manager  
[fey@uthscsa.edu](mailto:fey@uthscsa.edu)  
210-562-9058

- Chemical Safety Division  
<http://research.uthscsa.edu/safety/chemical.shtml>

The Chemical Safety Division consists of professional Safety Specialists who provide knowledge and expertise in the operation and support of Environmental Health and Safety procedures which comply with regulatory agency guidelines and institutional policies.

Rebecca Bloodworth  
Chemical Safety Manager  
[bloodworth@uthscsa.edu](mailto:bloodworth@uthscsa.edu)  
210-567-2955

- Radiation Safety Division  
<http://research.uthscsa.edu/safety/radiation.shtml>

**Form:** “Radioactive Material Authorization” (located on website)

The Radiation Safety Division promotes the well-being of ionizing and non-ionizing radiation users through education, evaluation of practices, ensuring regulatory compliance and dose monitoring at the University of Texas Health Science Center at San Antonio.

Jennifer Cerecero (formerly Watson)

Director, Radiation Safety

[watsonj@uthscsa.edu](mailto:watsonj@uthscsa.edu)

210-567-2960

- Environmental Protection Division

<http://research.uthscsa.edu/safety/environmental.shtml>

Services provided: hazardous waste management; chemical waste pick-up; radiological waste pick-up; air and water emission assessment; training—Lab Safety & Hazardous Waste Generator’s course; indoor air quality assessment; pollution prevention and waste minimization.

Michael Gilmer

Environmental Protection Manager

[gilmer@uthscsa.edu](mailto:gilmer@uthscsa.edu)

210-567-2955

**Form:** “Environmental Health & Safety Department Laboratory Decommissioning Risk Assessment Checklist” (email or call EHS for re-locating within UTHSCSA or leaving the Health Science Center)

[http://research.uthscsa.edu/safety/Laboratory\\_Decommissioning\\_Policy\\_Checklist2011.doc](http://research.uthscsa.edu/safety/Laboratory_Decommissioning_Policy_Checklist2011.doc)

The Environmental Health & Safety Office, in conjunction with its Chemical, Biological, and Radiation Safety Committees, has developed a Laboratory Decommissioning Policy. This procedure was developed as a helpful guide for decommissioning laboratories when Principal Investigators leave the Health Science Center or who are re-locating within the institution. The purpose of this policy is to ensure that laboratories which are being vacated are free of all hazardous materials upon departure.

**Office of International Services (OIS)**

<http://www.uthscsa.edu/ois/>

331A Medical Building

Tel 210-567-6241

Email: [international@uthscsa.edu](mailto:international@uthscsa.edu)

**Forms:** Please go to the website or contact OIS for the form needed.

The OIS acts as liaison between university administrators and federal regulatory agencies to ensure compliance with U.S. immigration regulations for the international students and scholars on campus. The OIS also coordinate social, cultural, and educational events for the international population.

Diana R. Salazar  
Director  
salazardr@uthscsa.edu

210-567-6241

Nora Garza-Peche  
Office Manager  
international@uthscsa.edu  
210-567-6241

### **Office of Sponsored Programs**

<http://research.uthscsa.edu/osp>

8403 Floyd Curl Drive, Research Administration Building, Room 2.204

Phone: 210-567-2340

Fax: 210-567-8701

E-Mail: [grants@uthscsa.edu](mailto:grants@uthscsa.edu)

The Office of Sponsored Programs contact for all transfer applications is Valerie Hutchison, Grants and Contracts Manager, 210.567-1652, [hutchisonv@uthscsa.edu](mailto:hutchisonv@uthscsa.edu). Please contact her before you begin the transfer application process.

### **NIH Info on Grant Transfers**

*(from NIH Grants Policy Statement, 10/13)*

#### **8.1.2.7 Change of Grantee Organization**

NIH prior approval is required for the transfer of the legal and administrative responsibility for a grant-supported project or activity from one legal entity to another before the expiration of the approved project period (competitive segment). A change of grantee organization may be accomplished under most NIH grants, including construction grants, if any of the following conditions are met:

- The original grantee has agreed to relinquish responsibility for an active project before the expiration of the approved project period. This includes any proposed change of grantee as a result of a PD/PI on a research project transferring from one organization to another

organization. The project under the same PD/PI may be supported at a new organization for a period up to the remainder of the previously approved project period in an amount not to exceed that previously recommended for direct costs (plus applicable F&A costs) for the remaining period.

- The grant to be transferred has been terminated in accordance with 45 CFR part 74.61 or 92.43
- A non-competing continuation award that is within an approved project period has been withheld because of the grantee's actions (see Administrative Requirements—Enforcement Actions—Suspension, Termination, and Withholding of Support).

A change of grantee that involves the transfer of a grant to or between foreign institutions or international organizations also must be approved by the IC's Advisory Council or Board.

A grant to an individual may not be transferred.

A successor-in-interest or a name change is not considered a change of grantee (see Change in Grantee Organizational Status below).

A change of grantee organization may involve the transfer of equipment purchased with grant funds. The transfer may be accomplished as part of the original grantee's relinquishment of the grant; otherwise, NIH reserves the right to transfer title to equipment to the new organization as indicated in Administrative Requirements—Management Systems and Procedures—Property Management System Standards.

A change of grantee request normally will be permitted only when all of the permanent benefits attributable to the original grant can be transferred, including equipment purchased in whole or in part with grant funds. In reviewing a request to transfer a grant, NIH will consider whether there is a continued need for the grant-supported project or activity and the impact of any proposed changes in the scope of the project. A change may be made without peer review, provided the PD/PI plans no significant change in research objectives and the facilities and resources at the new organization will allow for successful performance of the project. If these conditions or other programmatic or administrative requirements are not met, the NIH awarding IC may require peer review or may disapprove the request and, if appropriate, terminate the award.

A change of grantee organization request must be made before the anticipated start date at the new organization and preferably several months in advance. Failure to provide timely notification may result in disapproval of the request or significant delays in processing. Grantees are encouraged to discuss any potential issues with the awarding IC(s) prior to submitting a change of grantee organization request. If requesting a transfer in the middle of a budget period or at the end of the Federal fiscal year, grantees should contact the awarding IC for IC-specific guidance on the timing and preparation of the change of institution application.

A request for a change of grantee organization must be submitted to the GMO. The original institution must include an Official Statement Relinquishing Interests and Rights in a Public Health Service Research Grant (PHS 3734) (relinquishing statement). The relinquishing statement may be submitted in paper or electronically via the eRA Commons. Final FFR Expenditure Data and a Final Invention Statement are due to NIH from the relinquishing organization no later than 90 days after the end of NIH support of the project. Final FFR Expenditure Data should not be submitted until the original institution has received a revised NoA for the relinquished grant.

The proposed new grantee institution must provide the GMO with a change of institution application which may be submitted using the PHS 398 or PHS 416-1 paper application forms, or electronically via Grants.gov using the Parent Funding Opportunity Announcement listed at [http://grants.nih.gov/grants/guide/parent\\_announcements.htm](http://grants.nih.gov/grants/guide/parent_announcements.htm). If the original award was the result of a modular application and the grantee will submit a paper change of institution application, the modular procedures apply to the request for change of grantee. If the original award was the result of a modular application and the grantee will submit an electronic change of institution application, the grantee may submit a detailed budget or streamlined-detailed budget (as described in the FOA).

The paper application from the proposed grantee should include, at a minimum, the following:

- PHS 398 Face page.
- Budget pages (current and future years). (Under awards resulting from modular applications, the application should include narrative budget information for the current budget period, including total direct cost and the basis for computing F&A costs and, if applicable, future budget periods.) Budgets should not exceed the direct costs (plus applicable F&A costs) previously recommended for any budget period. For transfers in the middle of a budget period, the budget for the initial year may be based on the total costs relinquished only if the grantee has been instructed to do so by the awarding IC. For these applications, grantees will also need to include the Other Project Information and the Senior/Key Personnel components.
- Updated biographical sketches for the PD/PI and existing senior/key personnel and biographical sketches for any proposed new senior/key personnel.
- If transferring on the anniversary date, include the progress report for the current year including a statement regarding the goals for the upcoming year. For all transfer applications include also a statement indicating whether the overall research plans/aims have changed from the original submission, and, if so, provide updated information.
- Updated “other support” page(s), if necessary.
- Resources page, including probable effect of the move on the project.

- Checklist page.
- Certification of IRB/IACUC approval, including OHRP and OLAW assurance numbers, if applicable.
- Detailed list of any equipment purchased with grant funds to be transferred to the new organization (inclusion of this list in the transfer application from the new organization indicates its acceptance of title to that equipment).

The electronic application from the proposed grantee institution should include, at a minimum, the following:

- SF 424 (R&R) Cover Component
- SF 424 (R&R) Project Performance Site Location(s)
- SF 424 (R&R) Other Project Information:
  - Certification of IRB/IACUC approval, including OHRP and OLAW assurance numbers, if applicable.
  - Facilities and Other Resources, including probable effect of the move on the project.
  - Detailed list of any equipment purchased with grant funds to be transferred to the new organization (inclusion of the list in the transfer application from the new organization indicates its acceptance of title to that equipment).
- SF 424 (R&R) Senior/Key Person Profile:
  - Updated biographical sketches for the PD/PI and existing senior/key personnel and biographical sketches for any proposed new senior/key personnel, and updated “other support” page(s) as necessary.
- Budget pages applicable for activity code (current and future years). If the budget for the original award was submitted in a modular format, use the R&R Detailed Budget form for all electronic applications. Grantee may either complete all of the fields in the R&R Detailed Budget as appropriate or complete only the costs for the PD/PI (Section A), and include the remainder of the direct costs under Section F (Other Direct Costs) Item 8, and Section H (Indirect Costs). (For awards resulting from modular applications, include narrative budget information for the current budget period, including total direct cost and the basis for computing F&A costs and, if applicable, future budget periods.) Budgets should not exceed the direct costs previously recommended for direct costs (plus applicable F&A costs) for any budget period. For transfers during the course of a budget period, the budget for the initial year may be based on the total costs relinquished only if the grantee has been instructed to do so by the awarding IC.



## PHS 398 Research Plan

- If transferring on the anniversary date, include the progress report for the current year including a statement regarding the goals for the upcoming year. For all transfer applications include also a statement indicating whether the overall research plans/aims have changed from the original submission, and, if so, provide updated information.
- PHS 398 Cover Page Supplement
- PHS 398 Checklist

And, as applicable:

- PHS 398 Career Development Supplemental Form
- PHS 398 Fellowship Supplemental Form
- SBIR/STTR Information

NIH may request additional information necessary to accomplish its review of the request. Acceptance of a relinquishing statement by NIH does not guarantee approval of a transfer application for the continued funding of a project.

NIH will accomplish a change of grantee organization by issuing a revised NoA to the original grantee reflecting the revised budget/project period end dates, deletion of any future-year support, and deobligation of remaining funds, if applicable. (A deobligation of funds will be based on the estimated grant expenditures through the relinquishment date, as determined from the relinquishing statement or the available balance in PMS, whichever is less.)

Concurrently, the new grantee will receive the NoA reflecting the direct cost balance reported on the relinquishing statement plus applicable F&A costs, if funds are available. If the change of grantee organization occurs on the anniversary date of the project, the NoA to the new grantee will reflect the previously committed direct cost level plus applicable F&A costs if funds are available. If the change of grantee organization occurs during the course of the budget period, the policy of the awarding IC will determine if the NoA to the new grantee will reflect the direct cost relinquished by the former grantee plus applicable F&A costs or the total costs relinquished by the former grantee. This amount is subject to change as a result of the closeout of the original grant and may be adjusted downward.

A grantee may, at its own risk and without NIH prior approval, incur obligations and expenditures to cover costs before the beginning date of a transfer award. The grantee may do so only if those costs are necessary to conduct the project and would not require prior approval if incurred under an awarded grant. For the purposes of pre-award costs, transfers are treated like non-competing continuation awards. Therefore, the pre-award costs incurred are not

limited to 90 days prior to the beginning date of the initial budget period of that transferred award to the new grantee organization.

## **Incoming Material Transfer Agreement (MTA) Process**

### **Forms: INCOMING MTA - Incoming MTA Questionnaire**

A Material Transfer Agreement (MTA) is a legal contract used to govern the exchange of research materials between organizations. The Office of Sponsored Programs (OSP) is responsible for negotiating and signing all MTAs for incoming research materials obtained from non-profit academic or government institutions and from for-profit organizations. OSP reviews MTAs to ensure contractual obligations are consistent with The University of Texas policy, federal and state law.

New faculty members should contact their technology transfer office to prepare MTAs for all materials being sent to UTHSCSA before leaving their prior institution. This may take several months to complete.

### **The UTHSCSA Investigator is responsible for:**

- Requesting material directly from the Provider Scientist or Company.
- Sending the Provider the UTHSCSA Office of Sponsored Programs Agreements Specialist's contact information to process the MTA, [Rachel Schofield, 210-567-2332, Schofield@uthscsa.edu](mailto:Rachel.Schofield@uthscsa.edu).
- Sending the UTHSCSA OSP Agreements Specialist the Provider's contact information and if available, a MS Word version of MTA.
- Completing the Incoming Materials Questionnaire ([http://research.uthscsa.edu/osp/forms/Incoming\\_MTA-Questionnaire-2012.doc](http://research.uthscsa.edu/osp/forms/Incoming_MTA-Questionnaire-2012.doc)) and returning it by email to the OSP Agreements Specialist. This is required before review of the MTA can be started.
- Signing documents only after the MTA is reviewed and negotiated at OSP.
- Providing a fully signed MTA with P.O. requisitions or to LAR.

**The Office of Sponsored Programs Agreements Specialist is responsible for:**

- Reviewing the MTA to ensure that the contractual terms do not conflict with any other legal contracts and are consistent with UTHSCSA policy, state and federal law.
- Negotiating non-conforming terms with the Provider Institution.
- Obtaining signatures from Investigator and a UTHSCSA Authorized Representative.
- Sending the MTA to Provider Institution for signature.
- Sending a copy of final MTA to Investigator.

**Additional information for completing forms:**

- **Do not enter Investigator's name or shipping address as "Recipient".**
- **Only use our legal name and business address for all forms. Do not abbreviate.**  
The University of Texas Health Science Center at San Antonio  
Office of Sponsored Programs  
7703 Floyd Curl Drive, MSC 7828  
San Antonio, Texas 78229-3900
- **UTHSCSA's Authorized Representative Must Sign All Agreements**  
Chris G. Green, CPA, Director, Office of Sponsored Programs
- **For shipping animals:**  
Contact Ann Marie San Miguel, Shipping Coordinator, at Lab Animal Resources for delivery address and other details. Do not provide a Federal Express account number.
- **For shipping materials from foreign countries:**  
UTHSCSA's customs broker: Pat Coston Dzierzanowski, John P. Coston & Co., Inc.  
Phone: 828-3940 ext 21, Email: [pat@johnpcoston.com](mailto:pat@johnpcoston.com)