“WHO TO TURN TO”

Institutional Leaders Responsible for Research Oversight and Support

Resources for Faculty and Staff

UTHealth

The University of Texas Health Science Center at Houston

Last updated July 2021
Goal

To support UTHealth’s research activities and its researchers by providing a safe, ethical and responsible environment for the conduct of research.
INSTITUTIONAL COMPLIANCE LEADERSHIP

President, UTHealth
Chair, Executive Compliance Committee
Professor of Pediatrics,
Medical School
Giuseppe N. Colasurdo, M.D.

Vice President & Chief Legal Officer, Healthcare and Clinical Affairs
Melissa Pifko, JD
713.500.3268
Melissa.Pifko@uth.tmc.edu

Associate Vice President and Chief Audit Officer
Daniel Sherman, MBA, CPA, CIA
713.500.3270
Daniel.Sherman@uth.tmc.edu

Sr. Executive Vice President,
Chief Operating and Financial Officer
Kevin Dillon, MBA, CPA
713.500.3535
Kevin.Dillon@uth.tmc.edu

Vice President of Enterprise Risk Management & Chief Compliance Officer
Karen K. Spillar, JD
713.500.3310
Karen.K.Spillar@uth.tmc.edu

Executive Vice President & Chief Academic Officer/Dean of Graduate School of Biomedical Sciences
Michael Blackburn, PhD
713.500.6087
Michael.R.Blackburn@uth.tmc.edu

Executive Vice Dean for Clinical Affairs
Richard Andrassy, MD
713.500.7200
Richard.Andrassy@uth.tmc.edu

Compliance Committee: https://www.uth.edu/compliance/compliance-overview/committees.htm
RESEARCH LEADERSHIP

John Byrne, PhD
Associate Dean for Research
McGovern Medical School
713.500.5602
John.H.Byrne@uth.tmc.edu
https://med.uth.edu/research/

John Hancock, PhD
Vice Dean for Basic Research
McGovern Medical School
713.500.7356
John.F.Hancock@uth.tmc.edu

Jon Tyson, MD, MPG
Vice Dean for Clinical Research
McGovern Medical School
713.500.5651
Jon.E.Tyson@uth.tmc.edu

Constance M Johnson, PhD, MSN, RN, FAAN
Associate Dean for Research
School of Nursing
713.500.9936
Constance.M.Johnson@uth.tmc.edu
https://nursing.uth.edu/research/default.htm

Elmer Bernstam, MD, MSE
Associate Dean for Research
School of Biomedical Informatics
713.500.3927
Elmer.V.Bernstam@uth.tmc.edu
https://sbmi.uth.edu/research/

Jacqueline Hecht, PhD
Associate Dean for Research
School of Dentistry
713.500.5764
Jacqueline.T.Hecht@uth.tmc.edu
https://dentistry.uth.edu/research/

Susan Tortelero Emery, PhD
Associate Dean for Research
School of Public Health
713.500.9091
Susan.Tortolero@uth.tmc.edu
https://sph.uth.edu/research/

Maureen Goode, PhD, ELS
Administrative Director, Center for Clinical and Translational Sciences
713.500.7924
Maureen.Goode@uth.tmc.edu
**Area of Accountability**

SPA is the central point of coordination and tracking for sponsored projects and is UTHealth’s authorized representative for grants, contracts, and other agreements from government agencies, private industry, and non-profit foundations.

**Services**

SPA guides faculty and administrators in completing external applications; reviews and approves sponsored project budgets and applications; negotiates terms for government and non-profit grants, cooperative agreements, contracts, and subcontracts; establishes accounts and sets up budgets; processes budget revisions, no-cost extension requests, and grant transfers; provides assistance with external online grants/contracts systems; and negotiates the University’s federal indirect cost rate.

**Contact Information**

**Kathleen Kriedler, MBA**  
Associate Vice President, Sponsored Projects Administration  
713.500.3968  
Kathleen.Kriedler@uth.tmc.edu

**Carmen Martinez, MHA, CRA**  
Director of Grants and Contracts, Sponsored Projects Administration  
713.500.3091  
Carmen.Martinez.1@uth.tmc.edu

Sponsored Projects: [https://www.uth.edu/sponsored-projects-administration/](https://www.uth.edu/sponsored-projects-administration/)
Area of Accountability
That the university and its researchers will expend grant and contract funds in accord with the terms of the award. Particular emphasis is placed on determination of the “Allowability” of Expenditure, Sub-recipient Monitoring (Sub-contracts) and Preparation and submission of Final Reports.

Services
The Post-Award Finance team (PAF) is responsible for helping principal investigators and department administrators with the efficient and effective fiscal management of grants and contracts once awarded. PAF ensures grant and contract accounts are set-up correctly in the Financial Management System (FMS), are managed and administered accurately, and are closed out correctly and timely. PAF also serves as an institutional policy and compliance liaison. As part of this role, PAF works with and provides documentation for external audits and assists internal audit personnel in responding to audit findings with appropriate action.

Contact Information

Kathleen Kriedler, MBA
Associate Vice President, Sponsored Projects Administration
713.500.3968
Kathleen.Kriedler@uth.tmc.edu

Shannon Gary, MBA
Director, Post Award Finance
713.500.3067
Shannon.Gary@uth.tmc.edu

Sponsored Projects: https://www.uth.edu/post-award/index.htm/
Area of Accountability
That the university and its researchers will accurately report the time and effort allocated by faculty and staff to individual research projects. Expenditures of salary funds from contracts and grants will not exceed the time and effort allocated to that source.

Services
The effort reporting team assists researchers and research administrators with the effort reporting process. They maintain the Effort Certification and Reporting Technology (ecrt®) is a web-based system that integrates financial, payroll, and research administrative functions and is designed to enhance compliance management, improve financial information for academic units through comprehensive reporting, and significantly reduce the administrative burden of the effort reporting process.

Contact Information
Kathleen Kriedler, MBA
Associate Vice President, Sponsored Projects Administration
713.500.3968
Kathleen.Kriedler@uth.tmc.edu

Kimberly Vanzant, MBA, CRA
Director, Systems and Reporting
Sponsored Projects Administration
713.500.3374
Kimberly.Vanzant@uth.tmc.edu

Sponsored Projects: https://www.uth.edu/effort-reporting/index.htm
Area of Accountability
That the university and its researchers will ensure appropriate billing for clinical research projects.

Services
The effort reporting team assists researchers and research administrators with clinical trial contracts, coverage analysis and budgeting.

Contact Information
Kathleen Kriedler, MBA
Associate Vice President, Sponsored Projects Administration
(713) 500.3968
Kathleen.Kriedler@uth.tmc.edu

Kristin Parks
Director, Clinical Research Finance and Administration
(713)-500-3983
Kristin.Parks@uth.tmc.edu

Sponsored Projects: https://www.uth.edu/sponsored-projects-administration/index.htm
Area of Assurance

That the university and its researchers adhere to the highest standards of honesty and ethical behavior in the conduct of research.

Services

UTH ealth has in place policies and procedures to address issues related to:
  • Fabrication of data and results
  • Falsification of research
  • Plagiarism and the appropriation of the ideas, results or words without appropriate attribution.

HOOP 202 Honesty in Research provides greater detail on these policies and procedures.

Compliance Hotline number: 1-888-472-9868

Compliance Web Report website: www.tnwinc.com/webreport

Contact Information

Michael Blackburn, PhD
Executive Vice President & Chief Academic Officer/Dean of Graduate School of Biomedical Sciences
713.500.6087
Michael.R.Blackburn@uth.tmc.edu

Sujatha Sridhar, MBBS, MCE
Executive Director, Research Compliance
UCT 1840
713.500.3622
Sujatha.Sridhar@uth.tmc.edu

Meredith Mills, JD
Managing Legal Officer, Legal Affairs
UCT 1460
713.500.3268
Meredith.Mills@uth.tmc.edu

Compliance: https://www.uth.edu/compliance/index.htm
Research: https://www.uth.edu/research/index.htm
**Area of Assurance**

The University is committed to ensure that financial interests of investigators and institution do not affect, or appear to affect, the design, conduct or reporting of research or compromise the protection of human subjects.

**Services**

When key study personnel have a financial interest related to the proposed research, the Research Conflicts of Interest Committee (RCOI) evaluates the financial interest and work with the investigator to develop a management plan that outlines strategies to promote objectivity in research.

**Contact Information**

Renato M. Silva, DDS, MS, PhD  
Chair, RCOI Committee  
*Professor*, John Ludington Jr., Endowed Professorship in Endodontics  
713.486.4226  
Renato.M.Silva@uth.tmc.edu

Vyju Ram, MD  
Assistant Director, Conflict of Interest Programs  
UCT 1510  
713.500.3239  
Vyju.Ram@uth.tmc.edu

Renu Abraham, MSHA, MBA  
Research Compliance Specialist  
UCT 1510-8  
713.500.3420  
Renu.M.Abraham@uth.tmc.edu

Research COI: [https://www.uth.edu/evpara/rcoi/index.htm](https://www.uth.edu/evpara/rcoi/index.htm)  
Area of Assurance

The University is committed to protect the credibility and reputation of the university, the UT System, and members of the faculty and staff by providing a transparent system of approval, disclosure, and documentation of employee activities outside the university that might otherwise raise concerns about conflicts of interest or conflicts of commitment.

Services

The conflicts of interest team assist faculty and staff maintain the online system for submission of annual financial disclosures and requests for prior approval. The staff help coordinate review of disclosures by the ICOI committee.

Contact Information

Vyju Ram, MD
Assistant Director, COI Programs
UCT 1510
713.500.3239
Vyju.Ram@uth.tmc.edu

Susan Urban, MBA
Senior COI Program Coordinator
UCT 1510-1
713.500.3007
Susan.M.Urban@uth.tmc.edu

Research COI: https://www.uth.edu/evpara/rcoi/index.htm
Outside Activities: https://inside.uth.edu/evpara/coi/outside-activities.htm
PROTECTION OF HUMAN SUBJECTS
Committee for The Protection of Human Subjects

Area of Assurance
That the university and its researchers conduct an ethical and responsible program in the area of human subjects research

Services
The Committee for the Protection of Human Subjects (CPHS) is the Institutional Review Board (IRB) for UTHealth. All research involving human subjects conducted by UTHealth faculty, staff and must be reviewed and approved by CPHS.

Contact Information

Anne Dougherty, MD
Vice President, Human Research Protection Programs and Designated Institutional Official (IO)
Professor of Medicine (Cardiology), Medical School
713.500.6590
Anne.H.Dougherty@uth.tmc.edu

Cynthia Edmonds, MLA
IRB Director
UTPB 1100
713.500.7936
Cynthia.L.Edmonds@uth.tmc.edu

Sujatha Sridhar, MBBS, MCE
Executive Director, Research Compliance
UCT 1840
713.500.3622
Sujatha.Sridhar@uth.tmc.edu

iRIS Log In Screen:  https://iris.uth.tmc.edu/
IRB Website:  https://www.uth.edu/cphs
Clinical Trial Resources:  https://www.uth.edu/ctrc
Area of Assurance
That the university and its researchers conduct an ethical and responsible program in the use of animals in research

Services
The Animal Welfare Committee (AWC) is the Institutional Animal Care & Use Committee for UTHealth and provides for the review, approval and monitoring of all animal research carried out by UTHealth faculty, staff and students.

The AWC and the Center for Laboratory Animal Medicine and Care (CLAMC) provide a series of training courses in Laboratory Animal Research.

Contact Information

Christophe Ribelayga, PhD
Associate Professor and Bernice Weingarten Chair in Ophthalmology, Ruiz Department of Ophthalmology & Visual Science
713.500.5673
Christophe.P.Ribelayga@uth.tmc.edu

Mary Robinson, PhD
Executive Director and Associate Professor
Center for Laboratory and Animal Medicine and Care
713.500.7542
Mary.Robinson@uth.tmc.edu

Brid Nic Dhonnchadha, PhD
Manager, Institutional Animal Care & Committee
713.500.3514
Brid.NicDhonnchadha@uth.tmc.edu

iRIS Log In Screen:  https://iris.uth.tmc.edu/
AWC Website:  https://www.uth.edu/animal-research/
CLAMC:  https://www.uth.edu/animal-research/clamc.htm
Area of Assurance
That the university and its researchers manage the acquisition, use and disposal of radioactive materials and radiation sources in a safe and responsible manner.

Services
The Radiation Safety Committee reviews all research protocols that include the use of sources of radioactive materials.

The Radiation Safety Program assists the Radiation Safety Committee, performing routine laboratory inspections, providing personnel, area and environmental monitoring, and responding to emergency situations.

Contact Information
Robert Emery, DrPH
Vice President
Safety, Health, Environment, and Risk Management
Associate Professor of Occupational Health, School of Public Health
713.500.8100
Robert.J.Emery@uth.tmc.edu

Ambro van Hoof, PhD
Chair, Radiation Safety Committee
Professor of Microbiology and Molecular Genetics, McGovern Medical School
713.500.5234
Ambro.Van.Hoof@uth.tmc.edu

Janet Gutierrez, DrPH, CHP, RRPT
Radiation Safety Manager
713.500.5844
Janet.R.McCrary@uth.tmc.edu

Website: www.uthouston.edu/safety/radiation-safety/
Area of Assurance
That the university and its researchers manage the acquisition, use and disposal of hazardous chemicals in a safe and responsible manner.

Services
The Chemical Safety Committee reviews all research protocols that include the use of designated hazardous chemicals.

The Chemical Safety Program assists the Chemical Safety Committee, performing routine laboratory inspections, providing personnel, area and environmental monitoring, and responding to emergency situations.

Contact Information

Robert Emery, DrPH
Vice President
Safety, Health, Environment, and Risk Management
Associate Professor of Occupational Health,
School of Public Health
713.500.8100
Robert.J.Emery@uth.tmc.edu

Don Molony, PhD
Chair, Chemical Safety Committee
Professor, Renal Medicine and Hypertension
713.500.6872
Donald.A.Molony@uth.tmc.edu

William Bryan, PhD
Chemical Safety Manager
Cyclotron Building G.102
713.500.5836
William.W.Bryan@uth.tmc.edu

Chemical Safety: https://www.uth.edu/safety/chemical-safety/index.htm
Area of Assurance
That the university and its researchers manage the acquisition, use and disposal of hazardous biological agents and reagents in a safe and responsible manner.

Services
The Institutional BioSafety Committee reviews all research protocols that include the use of potentially infectious agents and rDNA.

The Biologic Safety Program assists the Institutional BioSafety Committee, performing laboratory inspections, supporting the handling and disposal of hazardous biological material, providing personnel, area and environmental monitoring, and responding to emergency situations.

Contact Information

Robert Emery, DrPH
Vice President
Safety, Health, Environment, and Risk Management (SHERM)
Associate Professor of Occupational Health,
School of Public Health
713.500.8100
Robert.J.Emery@uth.tmc.edu

Catherine Denicourt, PhD
Chair, Biological Safety Committee
Assistant Professor of Integrative Biology and Pharmacology
(713) 500-5696
Catherine.Denicourt@uth.tmc.edu

Scott J. Patlovich, DrPH, CIH, CBSP, CHMM, CPH
Instructor
Biological Safety Manager, Assistant Vice President of Environmental Health and Safety
713.500.8103
Scott.J.Patlovich@uth.tmc.edu

Biological Safety: https://www.uth.edu/safety/biological-safety/index.htm
Area of Assurance
That the university and its researchers manage the acquisition and use of human ESC and human IPSC in an ethical and responsible manner.

Services
All research involving human embryonic stem cells (hESCs) or human induced pluripotent stem cells (hIPSCs) conducted at the university by its employees and/or involving use of its facilities or resources must be reviewed and approved by the SCRO Committee before it is initiated.

Contact Information

Brian Davis, PhD
Professor & Director, Center for Stem Cell & Regenerative Medicine;
C. Harold and Lorine G. Wallace Distinguished University Chair
(713) 500-3145
Brian.R.Davis@uth.tmc.edu

Elizabeth Gendel, PhD
Senior Research Compliance Specialist
Research Compliance
(713) 500-3587
Elizabeth.M.Gendel@uth.tmc.edu

Biological Safety: https://inside.uth.edu/scro/
Office of Technology Management
The mission of the Office of Technology Management is to provide a resource for faculty, staff and student inventors of The University of Texas Health Science Center at Houston that will allow inventors an avenue to explore the opportunities for their inventions, coordinate appropriate legal protection for the intellectual property, and undertake the technology transfer activities, while ensuring that new products and methods are made available to the citizens of Texas and generating a royalty income for the University of Texas Health Science Center at Houston.

Services
Provides information, tools and resources about the process of intellectual property protection and commercialization including patent, copyright applications, start-up company formation and licensing.

Contact Information

Bruce Butler, PhD
Vice President
Research and Technology
Professor of Anesthesiology, Medical School
713.500.3369
Bruce.D.Butler@uth.tmc.edu

Christine E. Flynn, PhD
Associate Director, Licensing and New Venture Development
713.500.3383
Christine.Flynn@uth.tmc.edu

Office of Technology Management: https://www.uth.edu/otm/index.htm
**Area of Assurance**
That the university and its researchers avoid transferring to foreign nations and foreign nationals information, technology and equipment deemed to be “restricted” in its distribution.

**Services**
A license is required to export regulated items, but there are important exemptions for research and teaching activities at universities. The regulation and licensing requirements depend on what is being exported, where it is going, who will receive the export, and how it will be used. UTHealth and its faculty, staff and trainees must comply with these regulations, and penalties for violating them include fines, jail time, and loss of export privileges.

The individuals listed on this page can assist you in answering any questions you may have about how the regulations apply to your research, if a license is required, or how to obtain a license.

**Export Controls:** [https://www.uth.edu/effort-reporting/index.htm](https://www.uth.edu/effort-reporting/index.htm)
RESEARCH SUPPORT

1. Department colleagues, administrators, DMOs and Associate Deans for Management may be good first resources.

2. Each UTHealth school has an Associate Dean for Research (*see slide 4*).

3. University leaders indicated in this brochure may always be contacted for support and information.

4. If you experience difficulty finding information, please feel free to contact the [Office of Academic and Research Affairs](#).

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**Our Collective Goal**

*To support UTHealth’s research activities and its researchers by providing a safe, ethical and responsible environment for the conduct of research.*