



FY 2017



Southern Illinois University  
School of Dental Medicine

# Research Handbook



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## DEAN'S MESSAGE

To the SDM Faculty Community:

As a professional school that promotes and teaches the principles of critical thinking and lifelong learning, it is incumbent upon us to thoughtfully embrace the concept of the teacher-scholar. Effective teaching is closely related to and is a product of continued engagement in scholarly activity. Perhaps a good way to relate the importance of scholarship to effective teaching is to share a few famous quotes:

- “The best way to predict the future is to create it.” – Abraham Lincoln
- “You can teach a student a lesson for a day; but if you can teach him to learn by creating curiosity, he will continue the learning process as long as he lives” – Clay P. Bedford
- “Tell me and I will forget; show me and I may remember; involve me and I’ll understand.” – Chinese Proverb

It is incumbent on each of us to remain actively engaged in scholarly activity for ourselves and for our students. Thank you for your continued efforts on behalf of the School of Dental Medicine, our students and our alumni.



Bruce E. Rotter, DMD, MS  
Dean

## MISSION AND VISION

The Office of Research at the Southern Illinois University School of Dental Medicine aims to act as a catalyst for excellence in scholarship. In alignment with the Mission and Vision of the Southern Illinois University School of Dental Medicine, the Office of Research strives to:

- 1) promote, encourage and support research and scholarship initiatives of faculty, staff and students
- 2) promote an environment that supports collaborative research among SDM, SIUE and extramural colleagues
- 3) ensure compliance with all appropriate university, state and federal regulations

The Southern Illinois University School of Dental Medicine Research Handbook is intended to assist faculty and students in their efforts to develop and manage their research projects. The handbook provides information about internal funding, external funding, research compliance protocols, and the ethical and responsible conduct of research. We look forward to working with you for success in your scholarship and research programs.

Anita Joy, BDS, PhD  
Director  
Office of Research  
Southern Illinois University School of Dental Medicine  
[ajoy@siue.edu](mailto:ajoy@siue.edu)

**OFFICE OF RESEARCH**  
618-474-7060 Phone/618-474-7071 Fax

# **INTERNAL FUNDING (SIU-SDM)**

## **TYPES OF INTERNAL FUNDING (SIU-SDM)**

- SDM Pilot Project
- SDM Advanced Investigator Award
- Dean's Summer Student Research Fellowship
- SDM Supplemental Grant Award
- Alternative Research Projects:
  - SDM Research Project – No Funds Requested (NFR)
  - Mentored Summer Student Research Fellowships

## **CALL FOR RESEARCH PROJECTS**

**ALL RESEARCH** conducted by SDM faculty (regardless of the type or source of funding) and changes to current/ongoing research projects **MUST BE APPROVED IN ADVANCE** by the SDM Research Committee. No scholarly activity points will be awarded for research activity which has not been pre-approved by the Research Committee.

The Research Committee will notify the SDM Faculty of the availability of internal funding for Pilot Projects, Advanced Investigator Awards, and Supplemental Grants with a Call for Research Proposals via email beginning in late August of each year.

The Research Committee will notify the SDM Faculty of the availability of internal funding for Dean's Summer Student Research Fellowships with a Call for Research Proposals via email beginning in early January of each year.

Proposals should be sent to the Office of Research via e-mail; Attention: Dr. Anita Joy ([ajoy@siue.edu](mailto:ajoy@siue.edu)). You may also send a paper copy to the Office of Research, Building 279, Room 1108 (Attn: Dr. Anita Joy).

Funds for Pilot Projects, Advanced Investigation Awards and Supplemental Grants receiving \$500 for small equipment or clinic costs for patient care must be approved by the Research Committee by December of each year. Funds awarded for commodities or contractual services for approved projects must be expended prior to the budget cut-off date in the fiscal year the project was approved.

Collaborative projects will be given priority. Faculty members are encouraged to submit proposals for research related to the oral cavity/oral health. However, ongoing projects in other areas will be considered for funding.

All formats and forms for proposals are available on the Research page of the SDM's website. To access the website, go to <http://www.siue.edu/dental/about/research-scholarship.shtml>. The various forms will come up for you to double-click and save to your computer.

All applicants should review carefully the application requirements and submission formats that are available on the research portion of SDM's website.

## **SDM PILOT PROJECTS**

The purpose is to provide seed money for initial investigations. Only full-time, tenure-track faculty members are eligible to apply as principal investigators. New investigators are encouraged to apply for these awards. Budget requests are limited to commodities, contractual services, and student wages. The recommended limit for individual projects is about \$2,000. The level of funding for collaborative projects will be commensurate with the merit of the project and productivity of the P.I. A summary of the Pilot Project guidelines is listed below. **For complete guidelines and required forms, please go to <http://www.siu.edu/dental/about/research-scholarship.shtml>.**

### **SDM PILOT PROJECT**

#### **SUMMARY**

Submission may be a maximum of **five (5) double-spaced**, typed pages (excluding bibliography, curriculum vitae, and appendices)

**The Proposal should have the following subheadings:**

**I. Cover Page (must be submitted on appropriate form)**

- A. Must include abstract
- B. Must be signed by P.I., all co-investigators, and appropriate chairs  
NOTE: P.I. must be full-time faculty member. Part-time faculty members may be included as co-investigators

**II. Introduction to Application**

- A. Background
- B. Literature Review
- C. Preliminary Data (optional)

**III. Specific Aims**

- A. State the goals
  - i. Specific Aim 1
  - ii. Specific Aim 2
- B. Hypothesis
- C. Objectives

**IV. Research Strategy**

- A. Significance
- B. Innovation (optional)
- C. Approach
- D. Time table for conducting this project
- E. Anticipated results

**V. Appropriate budget request form**

- A. Pilot Project
- B. List the duties of the personnel and the students involved in the project

**VI. Appendices**

- A. Complete Bibliography
- B. Two-page (abbreviated) curriculum vitae for P.I. and each co-investigator  
Additional relevant information including photos, charts, graphs, etc. (Optional)

Approved by Research Committee May 2015

## **SDM ADVANCED INVESTIGATION (AIA) AWARDS**

Projects will be evaluated primarily on their probability of resulting in a successful externally funded grant. Only full-time, tenure-track faculty members are eligible to apply as principal investigators. Investigators' previous success in receiving internal or external grants is important. Team approaches are encouraged. Budget requests may include travel, student wages, contractual services, commodities and equipment (up to \$500). The total recommended limit is about \$5,000 for the entire project. The SDM AIA Awards require either a publication in a refereed journal or submission of a proposal to an external granting agency before any future SDM funding will be considered. The level of funding for collaborative projects will be commensurate with the merit of the project and productivity of investigators. A summary of the Advanced Investigator Award guidelines is listed below. **For complete guidelines and required forms, please go to <http://www.siu.edu/dental/about/research-scholarship.shtml>.**

### **SDM ADVANCED INVESTIGATOR AWARD APPLICATION**

#### **SUMMARY**

Submission may be a maximum of **ten (10) double-spaced**, typed pages (excluding bibliography, curriculum vitae, and appendices).

**The proposal should have the following subheadings:**

- I. **Cover Page** (must be submitted on appropriate form)
  - A. Must include abstract
  - B. Must be signed by P.I., all co-investigators, and appropriate chairs  
NOTE: P.I. must be full-time faculty member. Part-time faculty members may be included as co-investigators
- II. **Introduction to Application**
  - A. Background
  - B. Literature Review  
Preliminary Data (Optional)
- III. **Specific Aims**
  - A. State the goals
    - i. Specific Aim 1
    - ii. Specific Aim 2
  - B. Hypothesis
  - C. Objective
- IV. **Research Strategy**
  - A. Significance
  - B. Innovation (optional)
  - C. Approach
  - D. Time table for conducting this project
  - E. Anticipated results
- V. **Appropriate budget request form**
  - A. AIA budget form
  - B. AIA budget justification (optional)
  - C. List the duties of the personnel and the students involved in the project
- VI. **Appendices**
  - A. Complete Bibliography
  - B. Two-page (abbreviated) curriculum vitae for P.I. and each co-investigator  
Additional relevant information including photos, charts, graphs, etc. (Optional)

## **DEAN'S SUMMER STUDENT RESEARCH FELLOWSHIP (DSSRF)**

Each year, funding is made available for student participation in summer research, mentored by SDM faculty. Research fellowships are awarded on a competitive basis as determined by merit of a submitted research proposal. The DSSRF program is designed to introduce a student to research. A summary of the Dean's Summer Student Research Fellowship guidelines is listed below. **For complete guidelines and required forms, please go to <http://www.siu.edu/dental/about/research-scholarship.shtml>.**

### **DEAN'S SUMMER STUDENT RESEARCH FELLOWSHIP PROGRAM**

#### **SUMMARY**

Submission may be a maximum of **three (3) single-spaced**, typed pages (excluding bibliography, curriculum vitae, and appendices)

**Cover sheet (Attached)**

**Proposals include sections 1-7 below.**

1. **Specific Aims**
2. **Research Strategy**
  - a. Introduction and Background
  - b. Significance
  - c. Innovation (optional)
  - d. Materials and Method
3. **Budget (Use Attached Form)**
4. **Bibliography**
5. **Facility Use**
6. **Sponsor Statement (to be included at the end of the proposal with signature and date)**

NOTE: If grants are co-sponsored by more than one faculty member, all faculty sponsors must sign the above statement. Failure to meet the outlined requirements will jeopardize future proposals submitted by the faculty member.
7. **Student Statement (to be included at the end of the proposal with signature and date)**

Approved by Research Committee May 2015



## **SUPPLEMENTAL GRANT AWARDS**

These awards are intended to provide additional money to investigators to assist in the completion or extension of a funded SDM grant. To qualify for a Supplemental Award, investigators must show evidence of productivity from the supplemented research project and they must justify the need for additional money to complete or extend the work. Supplemental Grants of up to \$500 may be awarded to ongoing SDM Pilot Projects and \$1,250 for ongoing SDM Advanced Investigation Projects. Investigators can only receive one supplement to each Pilot Project or Advanced Investigation Award.

## **ALTERNATIVE RESEARCH OPTIONS**

### **SDM RESEARCH PROJECT – NO FUNDS REQUESTED (NFR)**

The purpose is to provide an avenue for initial investigations that do not require funding. Only full-time, tenure-track faculty members are eligible to apply as principal investigators. New investigators are encouraged to apply. For the SDM Research Project NFR application, please go to <http://www.siu.edu/dental/about/research-scholarship.shtml>. Applications must follow the template provided for the SDM Pilot Project Award.

### **MENTORED SUMMER STUDENT RESEARCH FELLOWSHIP (MSSRF)**

The purpose of the MSSRF is to provide an opportunity for additional dental students to be able to participate in a Research project during the summer semester. There are NO funds assigned through the MSSRF program, but investigators can support student researchers through external funding that they have received, if approval for an MSSRF is granted. Only full-time, tenure-track faculty can support students through the MSSRF mechanism. Applications must follow the template provided for the DSSRF.

**It is required that all research conducted at the SDM must be in compliance with the Policy on Academic Integrity in Scholarship and Research as documented in the Faculty Handbook. No funds will be released without appropriate clearances through IRB, IACUC, chemical hygiene, radiation safety, etc.**

## **EVALUATION CRITERIA FOR SDM RESEARCH PROJECTS**

The primary criterion is the merit of the proposal. Using this criterion, the SDM Research Committee reviews proposals according to the following:

- I. The originality/creativity and significance of the proposed research,
- II. The clarity and appropriateness of the research design and procedure,
- III. The feasibility of the proposed research,
- IV. The principal investigator's prior record and potential for external funding.

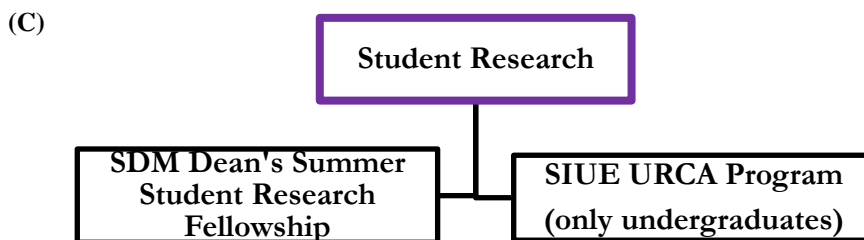
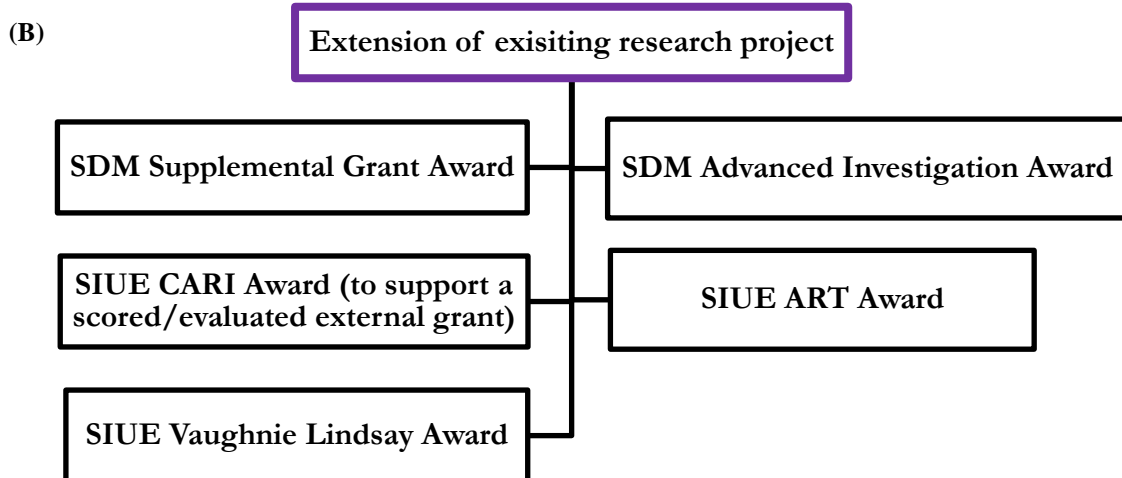
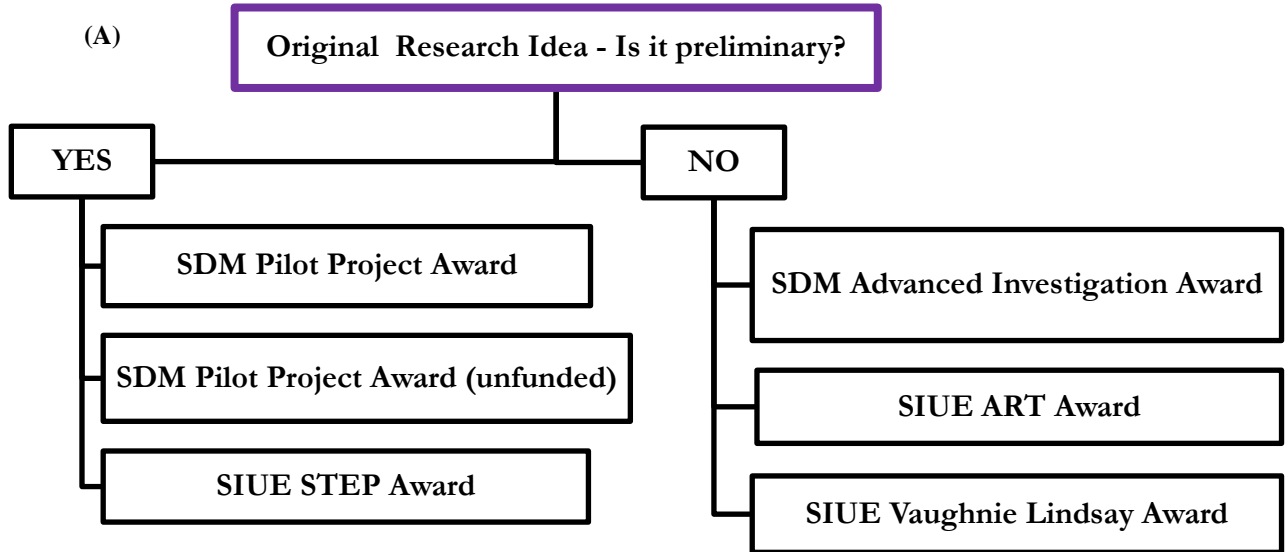
If you have any questions regarding these projects, you may contact the Director of Research or any member of the Research Committee for assistance.

# **INTERNAL FUNDING (SIUE)**

<b>2016-2017 Competitive Grant Cycle</b>	
<b>Sept. 2, 2016</b>	<a href="#">Paul Simon Outstanding Teacher-Scholar Award Program</a>
<b>Sept. 15, 2016</b>	<a href="#">SIU SOM and SIUE Collaborative Grant</a>
<b>Oct. 6, 2016</b> (Contact chairs/deans for School deadlines)	<a href="#">Seed Grants for Transitional and Exploratory Projects (STEP)**</a> ( <a href="#">Baich Award</a> chosen from STEP applicant pool)
<b>Oct. 7, 2016</b>	<a href="#">Final Reports</a> due for FY2016 Faculty Research Grants
<b>Nov. 21, 2016</b>	<a href="#">Distinguished Research Professor Award Program</a>
Contact Chairs/Deans for School deadlines <b>Feb. 1, 2017</b> to Graduate School	<a href="#">Vaughnie Lindsay New Investigator Award Program</a>
Contact Chairs/Deans for School deadlines <b>Mar. 3, 2017</b> to Graduate School	<a href="#">Hoppe Research Professor Award Program</a>
<b>Feb. 1, May 1, Sept. 1, Nov. 1</b>	<a href="#">Conference and Workshop Awards</a>
<b>Special Research &amp; Development Programs</b>	
<b>Any time</b>	<a href="#">Competitive Applications Resubmission Incentive (CARI)</a>
<b>Any time</b>	<a href="#">Strategic University Research Clusters Initiative (SURCI)</a>
<b>Any time</b>	Student and <a href="#">Faculty/Staff Travel Awards</a>
<b>Support from other internal sources</b>	
<a href="#">Institute for Urban Research (IUR): Research Fellows, Urban Scholars Program</a>	
<a href="#">Illinois Education Research Council (IERC) Faculty Research Fellowships</a>	
<a href="#">Undergraduate Research and Creative Activities (URCA)</a> - through the Office of the Provost	
<a href="#">Graduate Student Research Support</a>	
<a href="#">Meridian Awards</a> (for community outreach programs) - through the SIUE Foundation	
<a href="#">Excellence in Undergraduate Education</a> - through Faculty Development Council and Office of the Provost	

PLEASE ENSURE THAT YOU FORWARD YOUR **GRANT APPLICATION, APPROPRIATE COMPLIANCE FORMS** AND THE COMPLETED **GRANT AND CONTRACT ROUTING FORM** TO THE OFFICE OF RESEARCH (Attn: Dr. Anita Joy, Bldg. 279). ALL REQUIRED FORMS ARE AVAILABLE AT <http://www.siu.edu/orp/forms.shtml>. For any assistance, please contact Dr. Anita Joy (ext. 7028).

# COMPREHENSIVE FLOW CHARTS FOR INTERNAL FUNDING



# **EXTERNAL FUNDING**

## **HOW TO SUBMIT AN EXTERNAL GRANT**

1. Follow agency guidelines to find the application deadline date. Check if this date is a postmark or electronic submission receipt date. Contact **Teri Gulledge** or **Lisa Lawrence** at the Office of Research and Projects, SIUE, to discuss a plan for your submission.
2. Make sure your proposal and budget match the agency guidelines. For help with proposal and budget development, please contact Teri Gulledge or Lisa Lawrence as early as possible in the development process.
3. Obtain a "**Grant/Contract Routing Form**" <http://www.siue.edu/orp/forms.shtml>.
4. Negotiate budget items, such as released time or matching funds, with your department chairperson and/or Dean.
5. Complete the "Grant/Contract Routing Form." Be sure to obtain the signatures of your co-investigators and chairperson(s).
6. Once you have these signatures, **please submit the full proposal, a copy of the program guidelines, and the "Grant/Contract Routing Form" to Dr. Anita Joy, Office of Research, SIU-SDM, Bldg. 279, AT LEAST 15 WORKING DAYS BEFORE THE AGENCY DEADLINE.**
7. **Following review and approval through the Research Committee and the Dean, please submit the full proposal, a copy of the program guidelines, and the "Grant/Contract Routing Form" to Tammy Smart in ORP AT LEAST FIVE (5) DAYS BEFORE THE AGENCY DEADLINE DATE.** The proposal will be checked for compliance, budget correctness, and signatures. The proposal will be copied and mailed or electronically submitted by ORP staff.

Please contact Teri or Lisa early when submitting an electronic submission to agencies such as the National Science Foundation (NSF) or to the Grants.gov portal (NIH). Make sure to give ORP the correct mailing address/electronic submission information as well as the guidelines.

**For any assistance, please contact Dr. Anita Joy, ext. 7028**

For finding funding sources: Teri Gulledge, ext. 3114 or Lisa Lawrence, ext. 5887

For budget questions: Teri Gulledge, Lisa Lawrence (for proposal budgets), or, (for award budgets) Ryan Dodd, ext. 5199

For human subject, animal care, or other compliance questions: Linda Skelton, ext. 2958

For assistance with the "Grant/Contract Routing Form": Teri Gulledge or Tammy Smart, x5364

# COMPLIANCES

## **ANIMAL CARE**

The policies related to the care and use of animals in teaching and research for Southern Illinois University Edwardsville are governed by the Institutional Animal Care and Use Committee (IACUC).

### **Animal Care and Use Concerns:**

To help ensure that laboratory animals receive humane care and use of treatment in accordance with the highest ethical standards, laws, regulations and policies governing animal research, the SIUE IACUC will review and, if warranted, address any animal-related concerns raised by the public or SIUE employee. The IACUC will review each concern in a timely and systematic manner and, when necessary, take prompt, appropriate corrective actions.

### **Contacts:**

IACUC Chair: Kevin Krajniak, [kkrajni@siue.edu](mailto:kkrajni@siue.edu) or 618-650-3467

IACUC Administrator: Linda Skelton, [lskelto@siue.edu](mailto:lskelto@siue.edu) or 618-650-2958

Institutional Official: Jerry Weinberg, [jweinbe@siue.edu](mailto:jweinbe@siue.edu) or 618-650-3010

SIUE's Animal Care Protocol and Continuing Review Report form can be downloaded in PDF format using the links found at <http://www.siue.edu/orp/compliance/animal/index.shtml>. The Animal Care Protocol and Continuing Review Report form can be completed using Adobe Acrobat Reader. Printed forms should be forwarded to Linda Skelton in the Graduate School, Box 1046.

### **List of forms:**

1. Animal Welfare Assurance Document
2. Animal Care Protocol (Word)
3. Continuing Review Report Form (PDF)
4. Continuing Review Report Form (Word)
5. Online Training and Certification for Animal Care
6. Occupational Health and Safety Program for SIUE Faculty, Staff and Students in Contact with Animals

Beginning February 20, 2015, as part of the SIUE Occupational Health and Safety Program for the care and use of animals in research, all SIUE faculty, staff and students who have, or plan to have, regular contact with live vertebrate laboratory or wild animals, must complete a medical history evaluation. This evaluation, which includes an immunization history, must be completed by a physician or a licensed health care provider and filed with the Institutional Animal Care and Use Committee (IACUC) by February 20, 2015, for those who already work with animals and, before engaging in any contact with animals, for new personnel. This new requirement is in response rules



set forth by the Office of Laboratory Animal Welfare (OLAW), agency within the U.S. Department of Health and Human Services

What to do?

1. Complete the following documents.
  - a. Health History Evaluation and Vaccination History

A portion of this form must be completed and signed by your doctor or licensed health care provider. The remainder of the form must be completed and signed by you. If you have not received the required vaccinations, go to your Doctor or healthcare professional to get the vaccinations.

- (i) Letter of explanation for your Doctor  
<http://www.siu.edu/orp/forms.shtml#occupational>

Give a copy of this letter to your doctor or licensed health care provider.

- (ii) Waiver & Release of Liability, & Covenant Not to Sue can be found at  
<http://www.siu.edu/orp/forms.shtml#occupational>

This form must be filled out and signed by you.

- (iii) Vaccination Declination <http://www.siu.edu/orp/forms.shtml#occupational>

This form should only be used if you decline the vaccinations.

2. Send the completed documents to Linda Skelton in the Office of Research and Projects at campus box 1046, drop them by at Suite 2202, Rendleman Hall, or send scanned originals to [lskelto@siu.edu](mailto:lskelto@siu.edu).

### **Additional Resources:**

Policy on instructional and research animal welfare can be found on the animal care research policies page <http://www.siu.edu/orp/researchpolicies/animal.shtml>

NIH website for researchers and institutions

[http://grants.nih.gov/grants/policy/air/researchers\\_institutions.htm](http://grants.nih.gov/grants/policy/air/researchers_institutions.htm)

# **BIOHAZARDOUS MATERIAL**

## **Procedures to Follow Regarding Biohazardous Material Use:**

1. Read the SIUE "Policy on Biohazardous Material Use"

<http://www.siu.edu/orp/researchpolicies/biosafety.shtml>

2. If you believe that you may intend to do the types of activities covered by the Institutional Biosafety Committee (IBC), read the IBC Definition of Biohazardous Material <http://www.siu.edu/orp/compliance/biosafety/definition.shtml> and compare to your planned use of biological materials.

3. If your planned activity type is covered by the IBC AND it includes the use of Biohazardous Materials, then you must do a professional Risk Assessment and complete an IBC Risk Assessment form <http://www.siu.edu/orp/forms.shtml#biosafety>. For all activities with biohazardous materials whether covered by the IBC or not, please consult the Emergency Management & Safety Department for other requirements <http://www.siu.edu/emergencymanagement/contact.shtml>.

Note that it may be useful to consult the "Agent Summary Statements" in Appendix VIII of the Centers for Disease Control manual "Biosafety in Microbiological and Biomedical Laboratories" <http://www.cdc.gov/biosafety/>. Keep in mind however that these agent summaries, while useful, are NOT a complete listing of biohazardous materials, nor the definitive word on risk assessment for those biohazardous materials.

4. Submit the completed IBC Risk Assessment form to Linda Skelton, Coordinator of the IBC in the Office of Research and Projects at campus box 1046, drop them by at Suite 2202, Rendleman Hall, or send scanned originals to [lskelto@siu.edu](mailto:lskelto@siu.edu).

OR,

5. If at this point you are sure that your activity will be classified as Biosafety Level 2 or higher, complete both the Risk Assessment and the full Application to Use Biohazardous Material. Submit both together to the full IBC via Linda Skelton, the IBC Coordinator.

If you submit only the Risk Assessment form, the chair of the IBC will advise you as to whether you may proceed immediately, or whether you must submit a full Application to Use Biohazardous Material <http://www.siu.edu/orp/forms.shtml#biosafety>. Submit the full IBC to the Coordinator, Linda Skelton at campus box 1046, drop them by at Suite 2202, Rendleman Hall, or send scanned originals to [lskelto@siu.edu](mailto:lskelto@siu.edu).

6. For all activities with biohazardous materials whether covered by the IBC or not, please consult the SIUE Emergency Management & Safety Department for other requirements <http://www.siu.edu/emergencymanagement/>.

## **FINANCIAL CONFLICTS OF INTEREST**

Procedures governing the management of Southern Illinois University Edwardsville's (SIUE's) Policy on Conflicts of Interest and Commitment 1Q9 pertaining to projects funded by any sponsor that requires disclosure of FCOI, which includes all federal agencies, shall be managed by the Graduate School in accordance with applicable federal regulations. These procedures may be modified by The Graduate School as necessary to remain compliant with appropriate rules and regulations with notification of changes sent to the Graduate Council and appropriate other governing bodies.

### **Procedures:**

No activity can be conducted until the SIUE Financial Conflict of Interest (FCOI) Committee grants approval. The FCOI Committee will be coordinated by the SIUE Graduate School.

### **Disclosure, Review and Monitoring Requirements:**

1. The Lead Investigator is responsible for assuring all investigators as defined in the FCOI Policy have filed appropriate disclosure forms with the Graduate School.

2. An Investigator is responsible for submitting a completed SIUE Financial Conflict of Interest Disclosure form <http://www.siu.edu/orp/forms.shtml#fcoi> to the Graduate School to disclose his or her significant financial interests (SFIs) as well as those of the Investigator's spouse and dependent children that are related to the Investigator's institutional responsibilities and that meet or exceed the regulatory definition of SFI.

a. Investigators must submit the SIUE FCOI Disclosure form(s) <http://www.siu.edu/orp/forms.shtml#fcoi> no later than at the time of application for projects funded by any sponsor that requires disclosure of FCOI, which includes all federal agencies.

b. If the Investigator plans to work on existing projects funded by any sponsor that requires disclosure of FCOI, which includes all federal agencies, the Investigator must submit the SIUE FCOI Disclosure form(s) <http://www.siu.edu/orp/forms.shtml#fcoi> prior to beginning the work.

c. Disclosure forms must be updated at least annually during the period of the award.

d. Investigators must file an updated SIUE FCOI Disclosure form within 30 days of discovering or acquiring a new SFI. An SFI includes any reimbursed or sponsored investigator travel related to his or her institutional responsibilities. Reimbursed or sponsored travel includes travel which is paid on behalf of the investigator but not reimbursed directly to the investigator.

3. The Graduate School's FCOI Committee will determine whether an Investigator's SFI is related to the funded project and, if so related, whether the SFI is an FCOI.

4. The FCOI Committee may request additional information from the investigator(s).

### **Training Requirements:**

1. Each Investigator is required to complete appropriate training, such as through the CITI Program Financial Conflict of Interest (FCOI) online course, prior to engaging in activities related to any grant from a sponsor requiring FCOI disclosure.
2. This training is required every 4 years or immediately for supported investigators if:
  - a. SIUE revises its FCOI policy that affects requirements of investigators
  - b. the Investigator is new to SIUE
  - c. the Investigator is not in compliance with the policy or management plan.

### **Enforcement Mechanisms and Remedies and Noncompliance:**

1. Charges of violations of the FCOI policy shall be carefully examined. Charges shall be processed in the normal reporting channels. Disciplinary sanctions may range from reprimands to dismissal.
2. The FCOI Committee will document and require a complete retrospective review within 120 days of the Institution's determination of noncompliance for SFIs not disclosed timely manner or previously reviewed or whenever an FCOI is not identified or managed in a timely manner and to document the reviews consistent with the regulation as follows:

SIUE will document the retrospective review which must include at least the following key elements:

- a. Project number;
- b. Project title;
- c. PD/PI or contact PD/PI if a multiple PD/PI model is used;
- d. Name of the Investigator with the FCOI;
- e. Name of the entity with which the Investigator has a financial conflict of interest
- f. Reason(s) for the retrospective review;
- g. Detailed methodology used for the retrospective review (e.g., methodology of the review process, composition of the review panel, documents reviewed, etc.);
- h. Findings of the review; and
- i. Conclusions of the review.

3. The Graduate School will ensure that in any case in which a clinical research project to evaluate the safety or effectiveness of a drug, medical device, or treatment has been designed, conducted, or reported by an Investigator with an FCOI that was not managed or reported by SIUE as required by the regulation, SIUE shall require the Investigator involved to:

- a. disclose the FCOI in each public presentation of the results of the research
- b. request an addendum to previously published presentations.

**Subrecipient Requirements:**

The Graduate School will establish where applicable via a written agreement whether the subrecipient will follow the FCOI policy of SIUE or the FCOI policy of the subrecipient.

- a. If applicable, SIUE will obtain a certification from the subrecipient that its FCOI policy complies with the regulation.
- b. If applicable, SIUE will include in the written subrecipient agreement a requirement for the subrecipient to report identified FCOIs for its Investigators in a time frame that allows SIUE to report identified FCOIs to the sponsor as required.
- c. Alternatively, if applicable, SIUE will include in the written agreement a requirement to solicit and review subrecipient Investigator disclosures that enable SIUE to identify, manage and report identified FCOIs to the sponsor.

Further details regarding SIUE's FCOI policy can be found at [http://www.siu.edu/orp/compliance/conflictinterest/fcoi\\_procedures.shtml](http://www.siu.edu/orp/compliance/conflictinterest/fcoi_procedures.shtml)

Information regarding SIUE's Conflict of Interest Policy can be found at <http://www.siu.edu/policies/1q9.shtml>

# **EXPORT CONTROL**

## **Researchers are at the "front line" of export control issues because...**

1. Principle Investigators have control over the scope of the research project.
  - a. researchers make decisions about the equipment or technology to be implemented and to whom it may need to be transferred. That is, PI's determine when a research project may involve a transfer of equipment or technical information to colleagues abroad or to foreign nationals within the research laboratory.
  - b. researchers have ultimate control of the research project. It is critical, therefore, that Principle Investigators communicate with Office of Research and Projects administrators and ORP staff to evaluate technical aspects of export control issues.

## **Decision Tree-- Is My Research Subject to Export Control Laws?**

For help determining if your research requires an Export Control License, follow the "Export License/No Export License Decision Tree" provided by Georgia Tech at:

<http://researchintegrity.gatech.edu/about-export/export-decision-tree/>

# **HUMAN SUBJECTS**

## **Steps for obtaining approval of research involving human subjects:**

All researchers and investigators (including students) with projects or activities involving the use of human subjects must submit an application for approval to the IRB, via the Graduate School's Office of Research and Projects.

1. Read the handbook entitled "Human Subjects Guide". Copies are available on the Graduate School's website at: <http://www.siu.edu/orp/compliance/humansubjects.shtml>, or in the Graduate School office, Rendleman Hall, Room 2202, or Campus Box 1046, or 618/650-2958.
2. Assemble the following materials:
  - a. Complete all required IRB forms specific to the research project. Forms can be found at [http://www.siu.edu/orp/forms.shtml#human\\_subjects](http://www.siu.edu/orp/forms.shtml#human_subjects). A copy of the research proposal may be requested by the IRB.
  - b. A copy of all questionnaires or other research instruments (e.g. survey instruments, interview transcripts, advertisements, word puzzles, etc.);
  - c. Complete all required consent forms specific to your project. Forms can be found at [http://www.siu.edu/orp/forms.shtml#human\\_subjects](http://www.siu.edu/orp/forms.shtml#human_subjects). Also provide a written summary of the information that will be given to subjects orally or in writing (e.g. the cover page that will accompany your informed consent form that will explain your research to the potential subject); and
3. Send your application to the Graduate School's Office of Research and Projects, Rendleman 2202, Box 1046, SIUE, Edwardsville, IL 62026-1046.

**The researcher or investigator must not initiate the project until written notification is received that the application has been approved by the IRB. (Faculty supervisors will receive such notification when the researcher is an SIUE student.).**

**All informed consent forms must be submitted to the IRB for approval. The informed consent form must cover all points listed in the Basic Elements of Informed Consent and, where appropriate, additional elements of Informed Consent**

**<http://www.siu.edu/orp/compliance/humansubjects/consent.shtml>.**

NOTE: The expedited IRB committee, composed of the IRB chairperson and secretary, can generally meet to approve most protocols within two weeks of submission. The IRB meets once a semester (or more often when determined necessary) to review applications for approval that cannot be granted by the expedited committee. You (or the faculty supervisor for SIUE students) will receive written notification of approval or disapproval and, if approval is granted, the IRB's decision regarding the form and extent of documentation of informed consent. If you need assistance with your application or have any questions concerning the review process, please contact Linda Skelton in the Graduate School's Office of Research and Projects at [lskelto@siue.edu](mailto:lskelto@siue.edu) or 618-650-2958.

In cases where the disclosure of health information would result in minimal risk to the subject, the project director may request a waiver of subject authorization. You can download a sample HIPPA Waiver form <http://www.siu.edu/orp/compliance/humansubjects/hipaa.shtml>, which can be modified appropriately for your study. A copy of your Waiver form must be submitted along with your IRB protocol and be approved by the University IRB before data collection can begin.



## **TRAINING AND CERTIFICATION**

The University of Miami's CITI Program provides online training for matters related to the ethical conduct of research. Training courses are available in topics related to Animal Care and Use, Biosafety and Biosecurity, Export Control, Human Subjects Research, Good Clinical Practice, Responsible Conduct of Research, and Financial Conflicts of Interest. Completion of the computer-based training program meets the certification requirements for a period of three or four years for all faculty, staff, and students at SIUE who engage in research.

**All faculty and students engaged in research must maintain current training and certification. Non-compliance may compromise faculty/student access to research laboratories.** If you have any questions, please contact Dr. Anita Joy (Bldg. 279, ext. 7028/7117 [ajoy@siue.edu](mailto:ajoy@siue.edu)).

When you have successfully completed the training course, you will be awarded a Certificate of Completion. A copy of the Certificate must be submitted to the SDM Office of Research (Attn: Dr. Anita Joy, Bldg. 279), and must be included with any protocols submitted to the SIUE institutional review committees.

## **RESPONSIBLE CONDUCT IN RESEARCH (RCR) TRAINING AND INDIVIDUAL DEVELOPMENT PLAN POLICY**

The Graduate School oversees the implementation of SIUE's RCR and IDP Policy, which is shown below. Faculty are required to email a list of their funded/research students to Dr. Anita Joy at [ajoy@siue.edu](mailto:ajoy@siue.edu).

### **Policy:**

All undergraduate, graduate and dental students, and postdoctoral researchers are expected to abide by established professional norms and ethical principles in the performance of their scholarly activities. Those individuals who are paid by internal or external research grants (not including URCA Associates or Assistants) will complete Graduate School approved, Responsible Conduct of Research (RCR) training and certification <https://www.citiprogram.org/>. The SDM Office of Research and the SIUE Graduate School will retain all documentation related to the training.

Per the National Institutes of Health's (NIH) "Requirement for Instruction in the Responsible Conduct of Research," each recipient of an applicable NIH grant will develop with his/her mentor a plan to meet the required contact hours of instruction. This plan must be filed in the Office of Research and Projects (ORP).

When individuals are supported from an external sponsor, the project PI is responsible for ensuring completion of all requirements and maintenance of relevant records and is responsible for providing documentation when requested, such as for internal and external audits.

## UNIVERSITY POLICIES

Various University Policies related to Research and Scholarly Activity can be found at the following links:

- 1) Faculty Code of Ethics and Conduct <http://www.siu.edu/policies/1q1.shtml>
- 2) Academic Integrity <http://www.siu.edu/orp/researchpolicies/integrity.shtml>  
<http://www.siu.edu/policies/1q5.shtml>
- 3) Research and Export Control <http://www.siu.edu/policies/1m4.shtml>  
<http://www.siu.edu/orp/compliance/export/index.shtml>
- 4) Externally Sponsored Research <http://www.siu.edu/orp/researchpolicies/sponsored.shtml>
- 5) Responsible Conduct in Research Training and Individual Development Plan  
[http://www.siu.edu/orp/compliance/rcr\\_home.shtml](http://www.siu.edu/orp/compliance/rcr_home.shtml)
- 6) Conflicts of Interest <http://www.siu.edu/policies/1q9.shtml>
- 7) Biohazardous Material Use <http://www.siu.edu/orp/researchpolicies/biosafety.shtml>
- 8) Protection for Human Subjects <http://www.siu.edu/policies/1m9.shtml>
- 9) Instructional and Research Animal Welfare  
<http://www.siu.edu/orp/researchpolicies/animal.shtml>
- 10) Intellectual Property <https://www.siu.edu/policies/1115.shtml>
- 11) Externally Sponsored Industry Projects <http://www.siu.edu/policies/1m2.shtml>

**SCIENCE BUILDING 279:  
ROOM ASSIGNMENTS AND EQUIPMENT LIST**

# SCIENCE BUILDING 279: ROOM ASSIGNMENTS

## LOWER LEVEL

<u>Room Number:</u>	<u>Name or Assignment:</u>
0002	Anatomy Storage
0004	Testing Center / Room Behind Testing Center
0010	Room behind Autoclave Room
0011A	Autoclave Room
	Animal Quarters (room inside Autoclave Room)
	Refrigerator/Freezer (For Food Use Only)
0011B	Chemical Storage / Microscope Room
0011C	Animal Surgery
0016A	Animal Quarters

## FIRST FLOOR

<u>Room Number:</u>	<u>Name or Assignment:</u>
1105	Gross Anatomy (prep. room)
1106	Gross Anatomy Laboratory
1108	Office Support Specialist
1109	Director of Research (Dr. Anita Joy)
1110	Director of Research (Dr. Anita Joy)
1111	Hatton Room
1114A	Men's Restroom
1114B	Storage Room inside Men's Restroom
1115	Utility
1116	Utility
1117A	Women's Restroom
1117B	Storage Room inside Women's Restroom

## SECOND FLOOR

<u>Room Number:</u>	<u>Name or Assignment:</u>
2202	Common Cell Culture Facility
2203	Lab
2204	Lab: Dr. Kevin Rowland
2205	Lab: Dr. Barbara McCracken
2206	Lab
2207	Common Clean Room: PCR
2208	Lab
2209	Lab: Dr. Danny Welch
2210	Common Freezer Room
2211	Lab: Dr. William Whitson
2212	Lab: Dr. Adriana Marcuzzi
2213	Common Histology Lab / Cryostat
2214	Imaging Suite
2214A	Dark Room / Revolving Door
2214B	Confocal Microscope
2214D	Scanning Electron Microscope
2215	Student Office/Data Analyses
2216	Common Instrument Room
2217	Cold Room
2218	Office

## SCIENCE BUILDING 279: EQUIPMENT LIST

EQUIPMENT NAME	LOCATION	CONTACT PERSON
Hitachi SU6600 Scanning Electron Microscope (SEM) with EDX x-ray microanalyzer	2214D	Rowland, Joy, Marcuzzi
Olympus FluoView FV1000 Confocal Microscope	2214A	Rowland, Joy, Marcuzzi
Reichert Ultracuts	2214	Joy
Leica Jung RM2065	2214	Joy
Anatech CDS 2.2 Carbon Deposition System	2214	Marcuzzi
Anatech Hummer Sputtering System	2214	Marcuzzi
Leica Critical Point Dryer (for SEM procedures)	2214	Marcuzzi
Thermolyne Locator 4	2214	Marcuzzi
Fully-equipped Dark-Room Facilities	2214B	Marcuzzi
Pelco Microwave DFR-10 with Pelco Steady Temperature	2213	Marcuzzi
Beckman Avanty J30I Centrifuge with Rotors	2213	Marcuzzi
Dionex Bio LC System	2213	Rowland
Nanodrop	2213	Marcuzzi
Nikon Eclipse E600 Brightfield, Phase and Fluorescence Microscope interfaced with a Leica DSV Digital Camera	Cell culture facility 2203	Marcuzzi
Eppendorf Refrigerate Centrifuge 5810R	Cell culture facility 2203	Marcuzzi
2 Biological Laminar Flow Hoods	Cell culture facility 2203	Marcuzzi
CO <sub>2</sub> incubators	Cell culture facility 2203	Marcuzzi
Anaerobic Chamber	2212	Marcuzzi
Spiral Biotech Autoplater	2212	Marcuzzi
Bacterial Incubators	2212	Marcuzzi
Eppendorf 5417 R Microcentrifuges	2207	Marcuzzi
Nu Aire Laminar Flow Workstation	2207	Marcuzzi
Eppendorf Mastercycler ep Gradient PCR System	2207	Marcuzzi
Qiagen Rotor-Gene Q for qPCR	2207	Marcuzzi
Vacufuge Plus Sample Concentrator	2207	Marcuzzi
Mettler Microbalances	2214, 2212, 2208, 2206	Marcuzzi
Lyophilizer	2210	Marcuzzi
Biotek $\mu$ Quant Microplate Spectrophotometer for Microplate Reading (ELISA assays)	2216	Marcuzzi
Bio-Rad ChemiDoc XRX for Gel Documentation	2216	Marcuzzi
Varian Cary Spectrophotometer	2216	Marcuzzi
Eppendorf 5810R Centrifuges	2216	Marcuzzi
Gene Mate Incubated Shaker for Bacterial Culture	2216	Marcuzzi
Small equipment for gel electrophoresis	n/a	Individual Research Faculty
Walk-in refrigerator	2 <sup>nd</sup> Floor	Marcuzzi
Several -20° C freezers	2 <sup>nd</sup> Floor	Marcuzzi
Ultra-low/-80° C freezers (three)	2 <sup>nd</sup> Floor	Marcuzzi
Sterilization: Laboratory Dishwasher		Marcuzzi
Sterilization: Laboratory Autoclaves		Marcuzzi
Animal facilities	Lower Level	Marcuzzi
Anesthesia Equipment		Rowland

## ORDERING PROCESS

The Office of Research will order all commodities, contractual services and equipment for all approved research projects. To place an order, click on the following link to complete the order form: [Research Supply Order Form](#). An example of the order form can be found below.

### SDM OFFICE OF RESEARCH ORDER FORM

Shaded boxes contain formulas - Please do not type data in these cells.

Vendor Name	Catalog #/Item Description	Unit Price	Quantity	Extended Cost	(PLEASE PLACE EXTENDED COST AMOUNT IN APPROPRIATE CATEGORY:)			Cost for Shipping & Handling	Account # / Project Reference # to Charge	Total Cost
					Commodity	Contractual Service	Equipment			
1				\$0.00						\$0.00
2				\$0.00						\$0.00
3				\$0.00						\$0.00
4				\$0.00						\$0.00
5				\$0.00						\$0.00
6				\$0.00						\$0.00
7				\$0.00						\$0.00
8				\$0.00						\$0.00
9				\$0.00						\$0.00
10				\$0.00						\$0.00
<b>Order Total:</b>										<b>\$0.00</b>

Date Order Placed: \_\_\_\_\_ Date Needed: \_\_\_\_\_  
 Order Placed By: \_\_\_\_\_  
 Principal Investigator: \_\_\_\_\_

Submit the completed order form along with a quote (if available) to Dr. Anita Joy in the Office of Research via email ([ajoy@siue.edu](mailto:ajoy@siue.edu)). (Note: If compressed gas is needed for your project, you must inform the Office of Research by Wednesday to get delivery that same week.) **All supplies and services must be ordered before the annual budget cut-off.**

The Office of Research will maintain a budget for each approved research project and will provide budget updates to the Principal Investigator after orders are placed.

If you have any questions, please contact the Office of Research at 618-474-7060.