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2020



Southern Illinois University
School of Dental Medicine
**Research
Handbook**



TABLE OF CONTENTS

DEAN'S MESSAGE.....	2
MISSION AND VISION.....	2
INTERNAL FUNDING (SIU-SDM)	3
TYPES OF INTERNAL FUNDING (SIU-SDM).....	4
CALL FOR RESEARCH PROJECTS	4
SDM PILOT PROJECTS	5
SDM ADVANCED INVESTIGATION (AIA) AWARDS	6
SDM STIMULUS AWARD FOR RESUBMISSIONS (STAR) AWARDS	7
DEAN'S STUDENT RESEARCH FELLOWSHIP (DSRF)	8
SUPPLEMENTAL GRANT AWARDS	9
ALTERNATIVE RESEARCH OPTIONS.....	9
EVALUATION CRITERIA FOR SDM RESEARCH PROJECTS.....	9
INTERNAL FUNDING (SIUE)	11
EXTERNAL FUNDING	14
HOW TO SUBMIT AN EXTERNAL GRANT.....	16
COMPLIANCES	17
ANIMAL CARE	18
BIOHAZARDOUS MATERIAL.....	20
FINANCIAL CONFLICTS OF INTEREST.....	21
EXPORT CONTROL.....	23
DRONES	26
HUMAN SUBJECTS.....	26
UNIVERSITY POLICIES	31
ROOM ASSIGNMENTS AND EQUIPMENT LIST	33
ORDERING PROCESS.....	36

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.

R. Duane Douglas DMD, MS, FACP
Interim Director
Office of Research
Southern Illinois University School of Dental Medicine
rodougl@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 Investigation Award (AIA)
- SDM STimulus Award for Resubmissions (STAR)
- SDM Dean's Student Research Fellowship (DSRF)
- SDM Supplemental Grant Award
- Alternative Research Projects:
 - SDM Research Project – No Funds Requested (NFR)
 - SDM Mentored Student Research Fellowships

CALL FOR RESEARCH PROJECTS

ALL RESEARCH conducted by SDM faculty (regardless of the type or source of funding or if unfunded) 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 Investigation Awards, STAR 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 Student Research Fellowships with a Call for Research Proposals via email beginning in early January of each year.

Proposals should be sent to the Chair of the SDM Research Committee or to the SDM Office of Research via e-mail; Attention: Dr. Nathalia Garcia (migarci@siue.edu), Michelle Shatto (mshatto@siue.edu), or Dr. Duane Douglas (rodougl@siue.edu). You may also send a paper copy to the SDM Office of Research, Building 279, Room 1108 (Attn: Michelle Shatto).

Funds for Pilot Projects, Advanced Investigation Awards, STAR 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>. Please review carefully the application requirements and submission formats available on the SDM 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. Faculty may receive only one AIA to support a specific line of research. To be considered for funding, the PI must have submitted an abstract related to the specific line of work to IADR/AADR or an equivalent meeting OR have published data from a previous study on the specific research line. The SDM AIA Awards require 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 INVESTIGATION AWARD (AIA) 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)

SDM STIMULUS AWARD FOR RESUBMISSIONS (STAR)

The Stimulus Award for Resubmissions (STAR) is designed for full-time SDM faculty to receive funding to support research that shows significant potential for external funding. Specifically, the STAR mechanism will provide funds needed to support resubmission of external grant applications. Faculty may receive only one Stimulus Award for Resubmissions to support any given external grant resubmission. In order to be considered for STAR funding, the PI must have submitted a grant application to an external funding agency AND received scores/ratings/reviews from the agency, and provide a timeline for resubmission of the external grant following completion of the STAR project. STAR funding support is available for only one re-submission per external grant application. After receipt of STAR funds, a PI must resubmit the external grant application to the funding agency. Subsequent funding through any internal SDM mechanism will be considered only after the PI has fulfilled at least one of the following: (1) obtained external funding in order to support his/her research AND/OR (2) published the data generated from STAR funds in a peer-reviewed journal. A summary of the STAR guidelines is listed below. **For complete guidelines and required forms, please go to <http://www.siu.edu/dental/about/research-scholarship.shtml>.**

SDM STIMULUS AWARD FOR RESUBMISSIONS (STAR) APPLICATION

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
 - C. 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. **Copy of Submitted External Grant and Review Panel Comments/Summary Statement**
- III. **Narrative**
 - A. Discussion of how the proposed work will address the program officer's and review panel's comments in order to improve likelihood of funding following resubmission
- IV. **Timeline**
 - A. Include a timeline for completion of the proposed project and a timeline for resubmission of the external grant
- V. **Budget**
 - A. STAR budget form (limit approximately \$2,500 which can be used for: Commodities, Contractual Services, Student Wages, or Equipment (up to \$500*))

** In special circumstances, an investigator may request an equipment budget up to \$1,000 (total budget limit for STAR shall not exceed \$5,000). A budget justification must be provided for all equipment requests exceeding \$500. Following review by the Research Committee, recommendations for equipment funding will be forwarded to the Dean for final approval.*
 - B. Budget justification (A budget justification must be provided for all equipment requests exceeding \$500)
 - 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)

SDM DEAN'S STUDENT RESEARCH FELLOWSHIP (DSRF)

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 DSRF program is designed to introduce a student to research. A summary of the Dean's 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 STUDENT RESEARCH FELLOWSHIP (DSRF) PROGRAM

SUMMARY

Submit Prospectus on DSRF Prospectus Form by December 11, 2020

If invited by SDM Research Committee to submit Research Proposal, please submit your full application that includes all the following, by February 1, 2021.

1. **DSRF Cover Sheet**
2. **Research Proposal (3 single-spaced pages only)**
 - A. **Specific Aims**
 - B. **Research Strategy**
 - a. Introduction and Background
 - b. Significance
 - c. Innovation (optional)
 - d. Materials and Methods, including Statistical Analyses
3. **Bibliography**
4. **DSRF Budget Request Form**
5. **Facility Use**
6. **Sponsor Statement (if more than one faculty sponsor, include individual statements for each sponsor)**
7. **Student Statement**

Approved by Research Committee December 2016

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.

SDM MENTORED STUDENT RESEARCH FELLOWSHIP (MSRF)

The purpose of the MSRF 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 MSRF program, but investigators can support student researchers through external funding that they have received, if approval for an MSRF is granted. Only full-time, tenure-track faculty can support students through the MSRF mechanism. Applications must follow the template provided for the DSRF program.

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.

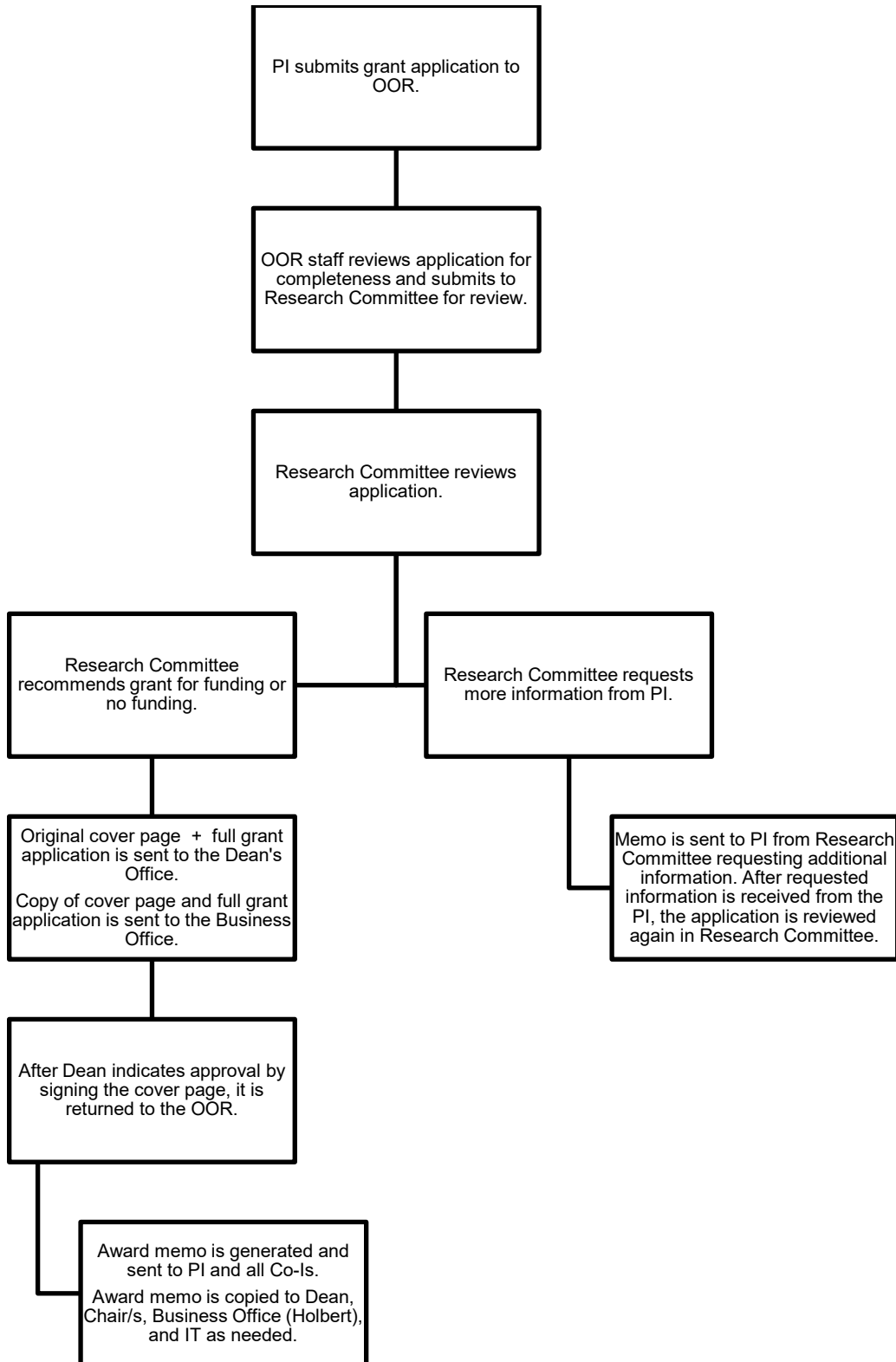
EVALUATION CRITERIA FOR SDM RESEARCH PROJECTS

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.

SDM GRANT ROUTING PROTOCOL – INTERNAL GRANTS

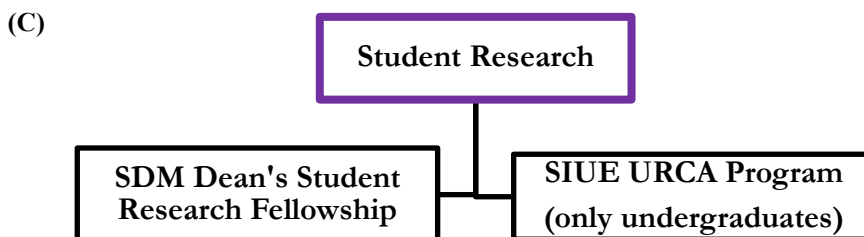
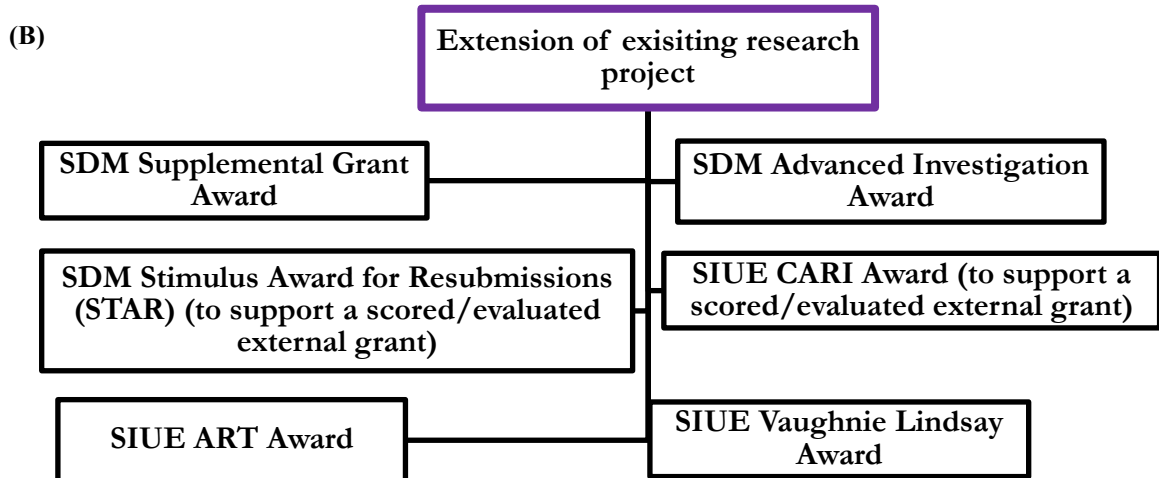
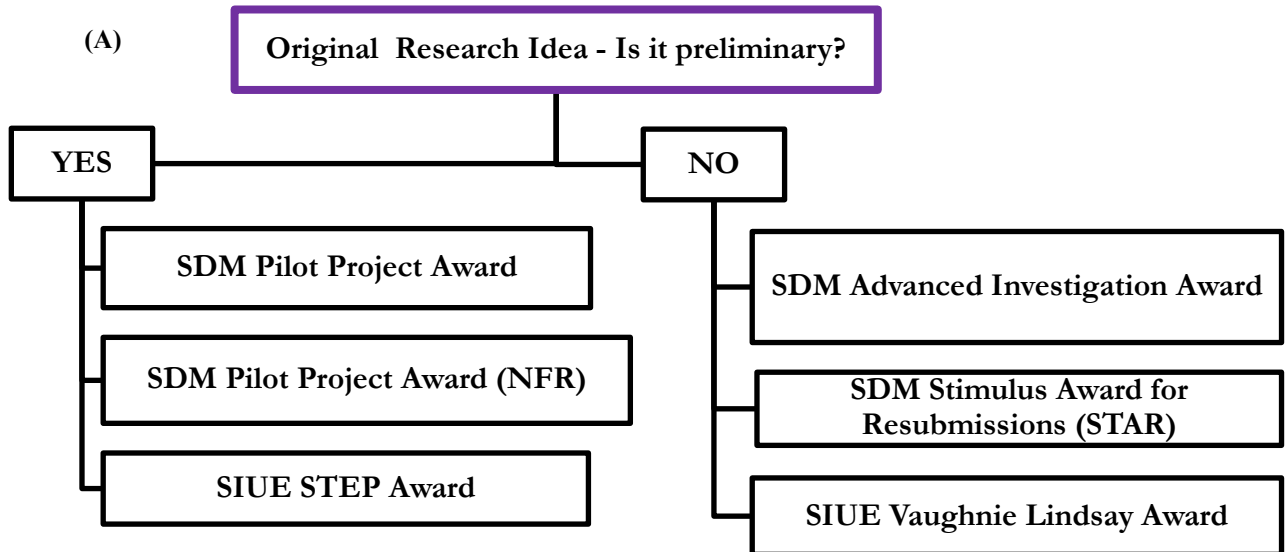


INTERNAL FUNDING (SIUE)

2020-2021 Competitive Grant Cycle	
Jan. 14, 2021 (SDM deadline) Feb. 19, 2021 (SIUE deadline)	Seed Grants for Transitional and Exploratory Projects (STEP)** (Annette & Henry Baich Award chosen from STEP applicant pool) http://www.siu.edu/funding/internal-funding/step.shtml
Mar. 5, 2021 (SIUE deadline)	Paul Simon Outstanding Teacher-Scholar Award Program http://www.siu.edu/funding/internal-funding/simon.shtml
Sep. 7, 2020	Distinguished Research Professor Award (academic rank) http://www.siu.edu/funding/internal-funding/distinguished.shtml
Oct. 16, 2020 (SDM deadline) Nov. 13, 2020 (SIUE deadline)	Vaughnie Lindsay New Investigator Award http://www.siu.edu/funding/internal-funding/newinvestigator.shtml
Apr. 1, 2021	Concept Commercialization Award http://www.siu.edu/funding/internal-funding/concept-commercialization-award.shtml
Sep. 18, 2020 (SDM deadline) Oct. 14, 2020 (SIUE deadline)	Hoppe Research Professor Award http://www.siu.edu/funding/internal-funding/hoppe.shtml
Oct. 1, 2020	Visualizing Research Impacts Competition http://www.siu.edu/funding/internal-funding/visualizing-research-impacts.shtml
Special Research & Development Programs	
Any time	Competitive Applications Resubmission Incentive (CARI)
Any time	Strategic University Research Clusters Initiative (SURCI)
Any time	Student and Faculty/Staff Travel Awards
Any time	Publication and Production Costs
Support from other internal sources	
Institute for Urban Research (IUR): Research Fellows, Urban Scholars Program	
Illinois Education Research Council (IERC) Faculty Research Fellowships	
Undergraduate Research and Creative Activities (URCA) - through the Office of the Provost	
Graduate Student Research Support	
Meridian Awards (for community outreach programs) - through the SIUE Foundation	
Excellence in Undergraduate Education - through Faculty Development Council and Office of the Provost	

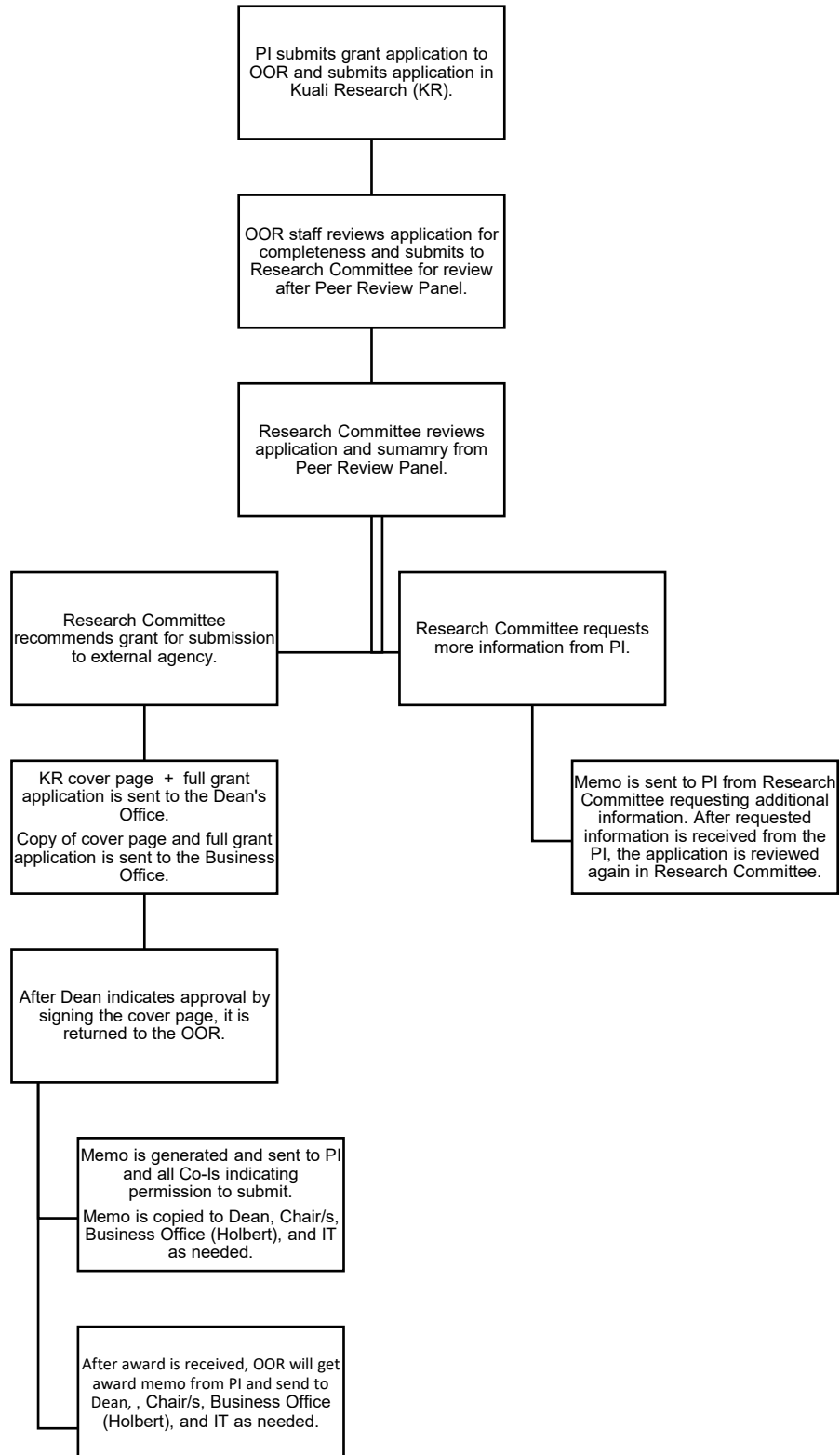
PLEASE ENSURE THAT YOU FORWARD YOUR **GRANT APPLICATION, APPROPRIATE COMPLIANCE FORMS** AND THE COMPLETED **GRANT AND CONTRACT ROUTING FORM** TO THE OFFICE OF RESEARCH (Attn: Dr Duane Douglas. 279). ALL REQUIRED FORMS ARE AVAILABLE AT <http://www.siu.edu/funding/internal-funding/research%20.shtml>. For any assistance, please contact Michelle Shatto (x: 7060) or Dr. Duane Douglas (x: 7065).

COMPREHENSIVE FLOW CHARTS FOR INTERNAL FUNDING



EXTERNAL FUNDING

SDM GRANT ROUTING PROTOCOL – EXTERNAL GRANTS



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 **Diane Cox** at the Office of Research and Projects, SIUE, at extension 5886 to discuss a plan for your submission or send an email to siueresearch@siue.edu to ask for assistance.
2. Make sure your proposal and budget match the agency guidelines. For help with proposal and budget *development*, please contact Diane Cox as early as possible in the development process. An ORP Research Associate will be assigned to assist with the proposal development and entry into Kualu Research.
3. Obtain training to access and upload all documents to Kualu Research portal <http://www.siue.edu/funding/external-funding/kuali-research.shtml>. Contact Diane Cox, extension 5886, or your assigned Research Associate for assistance.
4. Negotiate budget items, such as released time or matching funds, with your department chairperson and/or Dean.
5. Complete the grant application on Kualu Research portal. Be sure to obtain the signatures of your co-investigators and chairperson(s). Your assigned Research Associate can assist with this. Your assigned Research Associate will enter your budget for you in Kualu Research, ensure budget correctness and compliance with the funding announcement guidelines.
6. Once your application is complete within the Kualu Research portal have these signatures, **please notify the SDM Office of Research (Michelle Shatto; x: 7060; 279) AT LEAST 15 WORKING DAYS BEFORE THE AGENCY DEADLINE.**
7. For all electronic submissions to NSF or Grants.gov your assigned Research Associate will assist you in completing all required forms.
8. **Following review and approval through the Research Committee and the Dean, please submit the full proposal via Kualu Research portal to the SIUE ORP AT LEAST TEN(10) DAYS BEFORE THE AGENCY DEADLINE DATE so your proposal can begin the routing process for approval.**

For finding funding sources: Diane Cox, x: 5886

For budget questions: Diane Cox, x: 5886

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

For assistance with the Kualu Research portal: Michelle Shatto, x: 7060 or your assigned ORP Research Associate

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). An overview of SIUE's Animal Care and Use can be found at <https://www.siu.edu/compliance/animal-care-use/index.shtml>.

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: Luci Kohn, lkohn@siue.edu, 618-650-2394

IACUC Administrator: Linda Skelton, lskelto@siue.edu or 618-650-2958

Institutional Official: Jerry Weinberg, jweinbe@siue.edu or 618-650-3010

Directions for submission of the IACUC Animal Care Protocol through the Quali Research Portal can be found at <https://www.siu.edu/compliance/animal-care-use/protocol-submission-guidelines.shtml>.

List of forms (See "Animal Care" under Compliance Forms):

1. [Animal Welfare Assurance Document](#) (Includes guidance on Health Histories & Evaluations)
2. Animal Care Protocol (Online through Quali Research)
3. Continuing Review (Online through Quali Research)
4. [Online Training and Certification for Animal Care](#)

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) before engaging in any contact with animals. This requirement is in response to 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 found under “Compliance Forms/Animal Care at <https://www.siu.edu/graduate/funding-compliance-forms.shtml>.
 - 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](#)

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

- (ii) [Waiver & Release of Liability, & Covenant not to Sue](#)

This form must be filled out and signed by you.

- (iii) [Vaccination Declination](#)

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 lkelto@siue.edu.

Additional Resources:

Policy on instructional and research animal welfare can be found on the animal care research policies page <http://www.siu.edu/policies/1m10.shtml>

NIH website for researchers and institutions

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/policies/1m3.shtml>

2. If you believe that you may intend to do the types of activities covered by the Institutional Biosafety Committee (IBC), read the definition below and compare to your planned use of biological materials.

Any biological material or organism which:

- is, or has significant probability of, becoming infectious AND pathogenic (bringing disease) to humans, animals, or plants, OR
- contains or produces recombinant DNA, OR
- contains or produces a toxin with an LD50<100ng/kg body weight, OR
- is a select biological agent or toxin as published in lists at CDC and Animal, Plant Health Inspection Service (APHIS),
- is, or derives from, human or non-human primate, blood, body fluids, or unfixed tissues
- is a regulated plant pest as published in APHIS of the United States Department of Agriculture (USDA)

If your planned activity type is covered by policy and it includes the use of Biohazardous Materials, then you must do a professional Risk Assessment and complete an IBC Risk Assessment form. 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 Section VIII of the Centers for Disease Control manual "[Biosafety in Microbiological and Biomedical Laboratories](#)." 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.

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 conflict of interest (COI), 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. Disclosures, whether for Financial Conflict of Interest (FCOI), other COI or Conflicts of Commitment (COM) completed through Create Disclosure Section of the [Kuali Research Portal](#). Instructions for completing disclosures can be found in [PDF form](#) or in an [Online Tutorial](#).

Procedures: No activity can be conducted until the Kuali Research Proposal including all disclosures have been completely routed and approved.

Definition: Investigator is defined as “the project director or any other person regardless of title who is responsible for the design, conduct, or reporting of a project funded by the sponsor, which may include collaborators, subcontractors, and consultants.”

Disclosure, Review and Monitoring Requirements: The Lead Investigator is responsible for assuring all investigators as defined in the Policy on [Conflicts of Interest and Commitment-1Q9](#) have completed a disclosure in Kuali. This may include disclosing for:

- Reason 1. An [FCOI disclosure](#) is required annually for all investigators receiving funding from certain sponsors and at proposal submission to those sponsors.
- Reason 2. [COI disclosure](#) is required when an employee might use their influence or authority within SIUE to advance their own or an immediate family's personal interest. [COC disclosure](#) is required when any outside activity undertaken by an employee is sufficiently demanding to interfere with their SIUE obligations.
- Reason 3. You must disclose if you are in a position in which you supervise or have influence over another SIUE employee with whom you have a close personal relationship. [Nepotism](#)
- Reason 4. Full-time faculty who disclosed a COC must [annually report](#) the amount of time actually spent on non-university employment during the past year.

All Investigators on the project are responsible for submitting a completed SIUE Financial Conflict of Interest Disclosure to the Graduate School via Kuali 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. Investigators must submit their Disclosure no later than at the time of application for projects funded by any sponsor that requires disclosure of FCOI, which includes all federal agencies.

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 a Disclosure prior to beginning the work.

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

Investigators must file an updated Disclosure 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.

Each Investigator is required to complete appropriate training, such as through the CITI Program Financial Conflict of Interest (FCOI) online course which can be completed within Quali Research Portal or at this web address <https://www.siue.edu/compliance/training/>, prior to engaging in activities related to any grant from a sponsor requiring FCOI disclosure.

This training is required every 4 years or immediately for supported investigators if:

- SIUE revises its COI policy that affects requirements of investigators
- the Investigator is new to SIUE
- the Investigator is not in compliance with the policy or management plan

Further details regarding SIUE's COI policy can be found at <https://www.siue.edu/funding/external-funding/quali-research.shtml>

EXPORT CONTROL

The term "export controls" refers to a set of federal laws and regulations. These laws and regulations are used to restrict both physical and nonphysical exports of items that could contribute to the military potential of international adversaries, to advance U.S. foreign policy goals, and to protect the U.S. economy and promote trade goals.

Please see SIU's [Policy on Export Control](#) and the [SIU Export Control webpage](#). Note the following available resources.

Noncompliance with export controls requirements carries significant institutional AND personal risks <http://siusystem.edu/academic-affairs/export-controls/penalties.shtml>. This portion of the website provides information to assist you with maintaining compliance. In addition see SIUE's Policy on Export Control and Scholarship - 1M7 <https://www.siu.edu/policies/1m7.shtml>.

Most SIUE personnel only encounter export control when traveling internationally <https://www.siu.edu/compliance/drones/export-controls.shtml>. When traveling internationally for SIUE business (e.g., presenting at a conference), complete and submit the Temporary Export License Exception Form prior to your departure <http://www.siu.edu/graduate/funding-compliance-forms.shtml#export>.

However, other activities must be evaluated for export control purposes. These activities include:

- outbound shipments to foreign destinations
- laboratory access to controlled equipment and technical data that does not fall under the FRE (explained below)
- international collaborations
- teaching/lecturing abroad
- hosting foreign national visitors (non-US persons)
- activities subject to publication restrictions
- activities restricting the participation of foreign nationals
- activities involving restricted or export-controlled information.

Report violations of export control requirements to the director of Export Controls <http://siusystem.edu/academic-affairs/export-controls/contact.shtml>.

For SIUE personnel involved in research or externally sponsored projects, use the Export Requirement Questionnaire and Decision Tree-- Is My Research Subject to Export Control Laws? <https://siusystem.edu/academic-affairs/export-controls/decision-tree.shtml> to help determine if your activity falls under export control regulations. There are three exclusions as follows.

1. Fundamental research exclusion (FRE)

You stay outside the regulations when conducting research that is considered “fundamental” or non-restricted. You must have the intention of publishing or otherwise broadly disseminating the research to maintain this exclusion. The FRE allows foreign national researchers at the University to access EAR-controlled items and data for purposes of basic and applied research. However, some fundamental research is informed by background information that is export controlled and must be protected. Non-research activities as well as restricted research are not protected by the FRE.

2. Public domain exclusion

You stay outside the regulations when you share technical data or information with foreign person inside or outside of the U.S. if that data or information:

has already been published

is available in libraries or through newsstands, bookstores, subscriptions, or free web sites

has been disclosed in published patent applications.

3. Educational exclusion

You stay outside the regulations when teaching:

general science, math, and engineering commonly taught at schools and universities

information conveyed in courses listed in course catalogues.

Clean Laptop Program

As of February 1, 2019, all SIUE faculty and staff traveling to any of the following countries must use the [SIU Clean Laptop Program](#).

Your SIU issued laptop computer SHALL NOT be transported to any of the below countries.

IRAN SYRIA SUDAN NORTH KOREA
CUBA UKRAINE (Crimea Region) CHINA RUSSIA

For additional assistance, visit the FAQs. <http://siusystem.edu/academic-affairs/export-controls/faqs.shtml> .

Export control regulations are complex and implemented by three federal agencies. For more in depth information regarding export controls, you can visit the agencies' websites below.

U.S. Commerce Department, Export Administration Regulations (EAR)

U.S. State Department, International Traffic in Arms Regulation (ITAR)

U.S. Treasury Department, Office of Foreign Assets Control (OFAC)

DRONES

If you want to fly a drone or other unmanned aerial/aircraft system (UAS) on property owned by SIUE or for University business, you must obtain permission. SIUE's policy <http://www.siu.edu/policies/6f4.shtml> outlines permitted uses, including recreational and hobby. See below for more specific information.

To fly a drone or other UAS on property owned by SIUE or for University business anywhere in the world, you must:

- obtain University approval
- register the UAS with the FAA (If the drone or UAS is property of SIUE, it must be registered through the SIU System. Otherwise, you register it yourself.)
- pass the initial aeronautical knowledge exam at an FAA-approved knowledge testing center.

To become a certified drone/UAS pilot visit:

https://www.faa.gov/uas/commercial_operators/become_a_drone_pilot/

The nearest testing center to SIUE is:

Southwestern Illinois College

4950 Maryville Rd.

Granite City, IL

(618)931-0600

Anyone planning to operate a UAS on or in University property, or for University-related purposes not on University property, must submit a request to operate the UAS to the Associate Provost for Research (APR). [The request form is located at <http://www.siu.edu/compliance/drones/index.shtml>.]

To fly a drone or other UAS for recreational activities not associated with SIUE business, see section III B of University Policy 6F4 <http://www.siu.edu/policies/6f4.shtml>. The request form is located at <http://www.siu.edu/policies/pdf/16%20Facility-Use%20License%20Agreement%20rev%2020160518.pdf>.

HUMAN SUBJECTS <https://www.siu.edu/compliance/human-subjects/>

Research involving human subjects must be reviewed and approved by the Institutional Review Board (IRB) before any aspects of the research commence. SIUE has 2 IRBs; the Social Behavioral IRB (SBIRB), and the Clinical IRB (CIRB). Both IRBs are composed of faculty scientists, faculty non-scientists, and a non-SIUE affiliated member from the community, all of whom work together to protect of the rights, welfare and wellbeing of human subject research participants.

COVID-19 Updates

The SIUE Office of Research and Projects (ORP) has published University Guidance to Investigators During COVID-19 for Human Subject Research that provides guidance for face-to-face human subject research (HSR) on campus and for research field work, in accordance to Governor Pritzker's Restore Illinois plan and the University's plan for phasing in general operations. Those guidelines can be found [here](#) under "Human Subjects."

Additionally, all Investigators conducting any face-to-face research studies involving interviews, focus groups, etc., must have each participant fill out the [Research Participant Safety Acknowledgement Form \(COVID-19\)](#).

If you have any questions, please feel free to reach out to the office of Research and Projects at irbtraining@siue.edu.

STEP 1 IRB Submission

Determine if your project requires IRB review: Consider the following two definitions. If your project fits both definitions, you will need IRB review:

1. Research means a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.
2. Human subject means a living individual about whom an investigator conducting research obtains data.

When starting a project that involves interacting with or collecting data about people (e.g. surveys, interviews, and or data collection), it is not always clear whether or not you are conducting human subjects research (HSR) which requires approval by the Institutional Review Board (IRB). All projects that involve human subjects must be vetted by the IRB to determine review before the project can begin. The Graduate School's Office of Research & Projects has developed a screening method within the Kualu electronic protocol system which will help to determine if your project requires IRB review and approval. As you develop your protocol within Kualu it will determine your need for IRB review and the type of review.

Log into the [Kualu Online IRB Protocol System](#) to create and submit your protocol. An [online tutorial](#) is available.

Complete this step and submit a protocol early because IRB determination and review may take multiple weeks. The following approximation timelines are provided but note that it is impossible to determine exactly how long a review will take:

- exempt review 1-3 weeks
- expedited review 3-6 weeks
- full board review 4-8 weeks or longer.

IRB Review Committees: The Clinical IRB (CIRB) will review projects from Dental Medicine, Kinesiology, Nursing, and Pharmacy. All other areas of study will be reviewed by the Social Behavioral IRB (SBIRB).

STEP 2 Training

If the IRB Administrator determines your project requires IRB review, all investigators on the project are required to complete mandatory human subjects [training](#) **before** the IRB can approve the protocol.

STEP 3 Submit your Protocol to the Research Committee

STEP 4 Insurance

If student-initiated (student PI) research could result in the physical, mental, or emotional harm of a person or physical damage to property, the student will need to obtain insurance and provide proof of that insurance to the Compliance Coordinator prior to protocol approval.

The SIU Risk Management Office provides information regarding potential [sources of insurance](#) and the [required coverage](#).

For questions, contact SIU Legal Counsel (Jennifer Wagner at jennwag@siue.edu or 618-650-2455) or SIU Risk Management at 618-536-3331.

STEP 5 Investigator Responsibilities

Investigators must carry out the research as specified in your approved IRB protocol. Log into the [Kuali Online IRB Protocol System](#) if the following occur:

1. You would like to propose changes to your approved project. These changes must be submitted to the IRB for approval **before** they are implemented. In the Kuali protocol, click “Amend” and describe your changes in the Justification section and make other necessary changes within the protocol. Submit these changes to the IRB for review and approval.
2. You were instructed by the IRB to submit an annual report.

3. You were instructed by the IRB to submit a completion report.

STEP 6 Other

Unanticipated Problems and/or Serious Adverse Events must be reported to the IRB in a timely manner by contacting the IRB by email at irbtraining@siue.edu.

Related Resources for Human Subjects Research

- [SIUE Federal Wide Assurance Document](#)
- [SIUE Human Subjects Handbook](#)

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. Duane Douglas (Bldg. 273, ext. 7065 rodougl@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: Michelle Shatto, 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. Duane Douglas at rodougl@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 <https://www.siu.edu/policies/3c2.shtml>
<http://www.siu.edu/policies/1q5.shtml>
- 3) Research and Export Control <http://www.siu.edu/policies/1m4.shtml>
<http://www.siu.edu/policies/1m8.shtml>
- 4) Externally Sponsored Research <https://www.siu.edu/graduate/forms/externally-sponsored-projects.shtml>
<https://www.siu.edu/policies/1m2.shtml>
- 5) Responsible Conduct in Research Training and Individual Development Plan
<https://www.siu.edu/compliance/research-integrity/responsible-conduct-research-overview.shtml>
- 6) Conflicts of Interest <http://www.siu.edu/policies/1q9.shtml>
- 7) Biohazardous Material Use <http://www.siu.edu/policies/1m3.shtml>
- 8) Protection for Human Subjects <http://www.siu.edu/policies/1m9.shtml>
- 9) Instructional and Research Animal Welfare <https://www.siu.edu/policies/1m10.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>
001	Animal Quarters
0002	Glassware, Histology Slides, and Microscope Storage
0003	Anatophage Learning Lab
0010	Utility
0011A	Autoclave Room
	Animal Preparatory and Supplies Storage
0011B	Chemical Storage
0011C	Animal Quarters and Surgery

FIRST FLOOR

<u>Room Number:</u>	<u>Name or Assignment:</u>
1105	Gross Anatomy – Preparatory room
1106	Gross Anatomy Laboratory
1108	Office Support Specialist: Ms. Michelle Shatto
1109	Lab: Dr. Duane Douglas (Director, Office of Research)
1110	Lab: Kathryn Carter
1111	Hatton Room
1114A	Men's Restroom
1114B	Anatomy Storage Room
1115	Utility
1116	Utility
1117A	Women's Restroom
1117B	OOR Storage Room

SECOND FLOOR

<u>Room Number:</u>	<u>Name or Assignment:</u>
2202	SDM Cell Culture Core
2203	Lab: Dr. Achint Utreja
2204	Lab: Dr. Dan Welch
2205	Lab: Vacant
2206	Lab: Dr. Jasbir Upadhyaya
2207	SDM Molecular Biology Core – DNA/RNA
2208	Lab/Office: Donald Reed
2209	Lab: Vacant
2210	Sample Storage Core – Freezers and Liquid Nitrogen
2211	Document Storage
2212	Lab: Dr. Barb McCracken
2213	Histology Core
2214	Advanced Imaging Core Suite
2214A	Fluorescent Microscopy
2214B	Confocal Microscopy
2214D	Scanning Electron Microscopy
2215	Student Office and Printing
2216	Molecular Biology Core – Protein
	Materials Testing Core
2217	Cold Room
2218	Vacant

SCIENCE BUILDING 279: EQUIPMENT LIST

EQUIPMENT NAME	LOCATION	CONTACT PERSON
Animal facilities	001 and 011C	Welch
Sterilization: Laboratory Autoclaves	011A	Reed
Anesthesia Equipment	011C	Welch
Ultraviolet Crosslinker CL1000	2202	
Water bath/Shaker	2202	Carter, McCracken, Reed
Autoflow Tank Switch x2	2202	Carter, McCracken, Reed
Nikon Eclipse E600 Brightfield, Phase and Fluorescence Microscope interfaced with a Leica DSV Digital Camera	2202	Carter, McCracken, Reed
Eppendorf Refrigerate Centrifuge 5810R	2202	Carter, McCracken, Reed
2 Biological Laminar Flow Hoods	2202	Carter, McCracken, Reed
CO ₂ incubators	2202	Carter, McCracken, Reed
Flaming/Brown Micropipette Puller	2204	Welch
Olympus Upright Microscope BX51W1	2204	Welch
Dissection Microscope	2204	Welch
Sonomicrometer	2204	Welch
Digidata 1440A System	2204	Welch
Vibratome Sectioning System 3000	2204	Welch
Precision System Osmette II	2206	Upadhyaya
BMG Omega Microplate Reader	2206	Upadhyaya
PCR Machine Genius	2207	
Eppendorf Vacufuge plus Concentrator	2207	
Nu Aire Laminar Flow Workstation	2207	
Eppendorf 5417 R Microcentrifuges	2207	
Eppendorf Mastercycler ep Gradient PCR System	2207	
Qiagen Rotor Gene Q	2207	
Nanodrop	2208	Reed
Homogenzer Pro200	2208	Reed
Thermo Fisher Revco UXF -80° C Freezers	2210	Carter, McCracken, Reed
Thermolyne Locator 4	2210	Carter, McCracken, Reed
Laboratory Dishwasher	2010	
Anaerobic Chamber	2212	McCracken
Spiral Biotech Autoplater	2212	McCracken
Bacterial Incubators	2212	McCracken
Ultrasonic Water Bath	2212	McCracken
Vibra cell Sonicator	2212	McCracken
Fisherbrand AccuWash microplate washer	2012	McCracken
Gene Mate Incubated shaker	2012	McCracken
Vibratome Cryostate	2013	
Reichert Ultracuts	2013	
Leica Jung RM2065	2213	
Pelco Microwave DFR-10 with Pelco Steady Temperature	2213	
Beckman Avanty J30I Centrifuge with Rotors	2213	
Ultimate XL (teeth cutting)	2213	
Upower UPSOO (teeth cutting)	2213	

Sorvall Glass Knife Maker	2213	
Microtrome Knife Sharpener	2213	
Anatech CDS 2.2 Carbon Deposition System	2214	
Anatech Hummer Sputtering System	2214	
Leica Critical Point Dryer (for SEM procedures)	2214	
Olympus FluoView FV1000 Confocal Microscope	2214A	Carter
Hitachi SU6600 Scanning Electron Microscope (SEM) with EDX x-ray microanalyzer	2214D	Carter
Biotek μ Quant Microplate Spectrophotometer for Microplate Reading (ELISA assays)	2216	McCracken, Reed
Chemidoc Touch Imaging System	2216	Carter, Reed
Eppendorf 5810R Centrifuges	2216	Carter, Reed
UV gel electrophoresis light	2216	Reed
Gene Mate Orbital Shaker	2016	McCracken, Reed
Buehler IsoMet 1000 Precision Saw	2016	
Ultra Tester Bond Strength Testing Machine	2016	Hopp
Micro Climate Environmental Stimulation Chamber	2016	
Walk-in refrigerator	2217	Individual Research Faculty
Mettler Microbalances	Multiple locations: 1109, 2204, 2212	Carter, McCracken, and Welch
-20° C freezers	Multiple locations: 1109, 2204, 2206, 2208, and 2212	Carter, McCracken, Reed, Upahyaya, and Welch

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 <https://www.siu.edu/dental/about/research-scholarship.shtml>. 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
Order Total:										\$0.00

Date Order Placed: _____ Date Needed: _____
 Order Placed By: _____
 Principal Investigator: _____

Submit the completed order form along with a quote (if available) to Dr. Duane Douglas in the Office of Research via email (rodougl@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.