



FY 2018



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

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). 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>.

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.siue.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 chairsNOTE: 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.siue.edu/dental/about/research-scholarship.shtml>.**

DEAN'S SUMMER STUDENT RESEARCH FELLOWSHIP (DSSRF) PROGRAM

SUMMARY

☐ **Submit Prospectus on DSSRF Prospectus Form by January 9, 2017**

☐ **If invited by SDM Research Committee to submit Research Proposal, please submit your full application that includes all the following, by February 3, 2017.**

- 1. DSSRF 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. DSSRF 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.

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 MSSRF.

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.

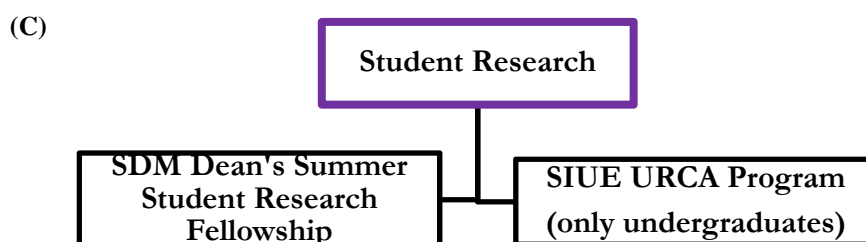
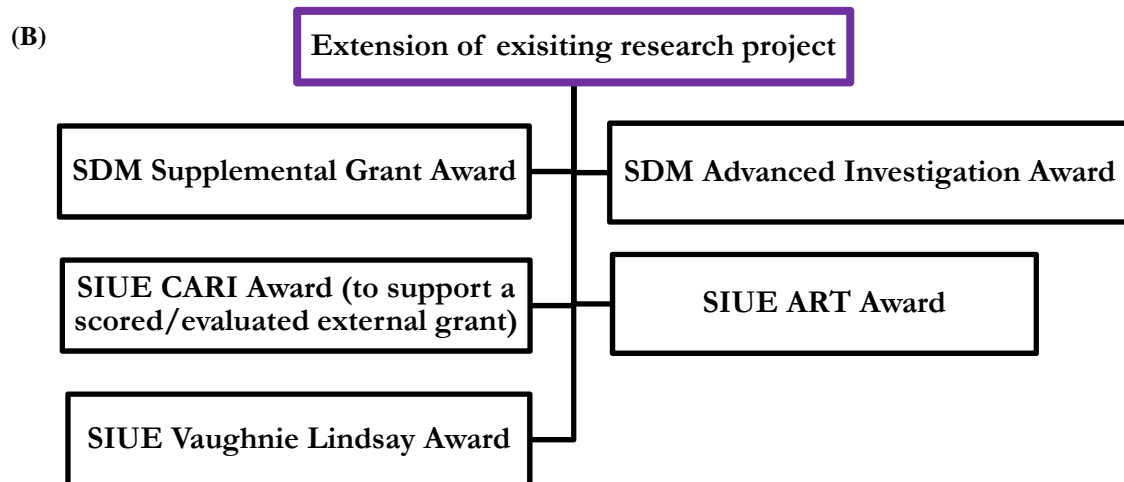
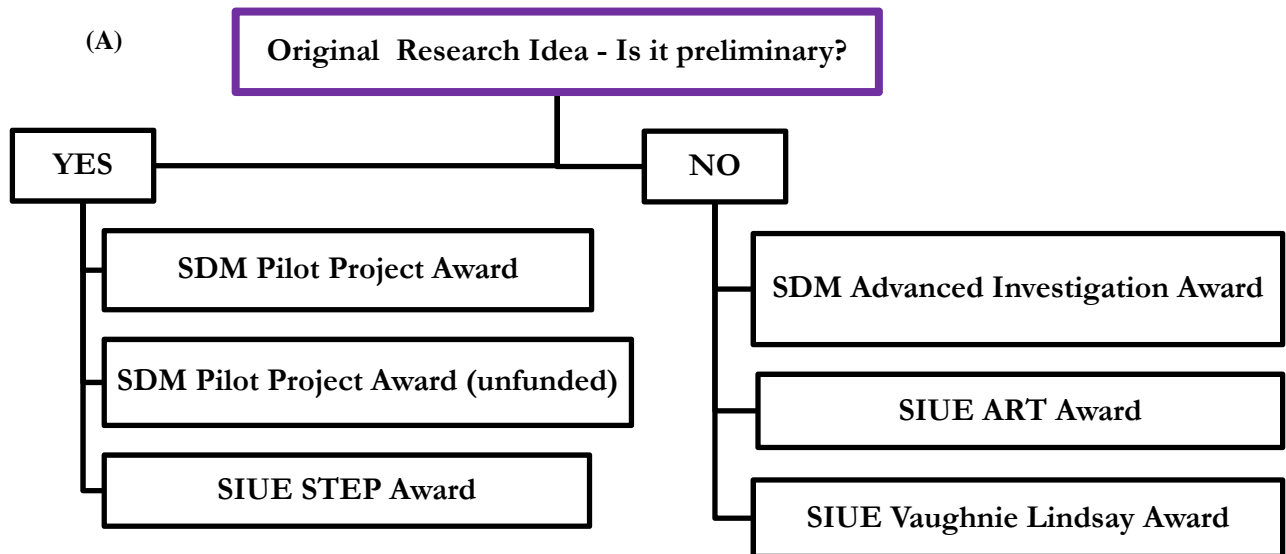
If you have any questions regarding these projects, you may contact the Director of Research or any member of the Research Committee for assistance.

INTERNAL FUNDING (SIUE)

| 2017-2018 Competitive Grant Cycle | |
|---|--|
| Sept. 1, 2017 | Paul Simon Outstanding Teacher-Scholar Award Program http://www.siu.edu/funding/internal-funding/simon.shtml |
| Sep. 7, 2017 (SDM deadline) Oct. 5, 2017 (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 |
| Nov. 27, 2017 | Distinguished Research Professor Award (academic rank) http://www.siu.edu/funding/internal-funding/distinguished.shtml |
| Jan. 10, 2018 (SDM deadline) Feb. 21, 2018 (SIUE deadline) | Vaughnie Lindsay New Investigator Award http://www.siu.edu/funding/internal-funding/newinvestigator.shtml |
| Mar. 1, 2018 | Concept Commercialization Award http://www.siu.edu/funding/internal-funding/concept-commercialization-award.shtml |
| Jan. 24, 2018 (SDM deadline) Mar. 2, 2018 (SIUE deadline) | Hoppe Research Professor Award http://www.siu.edu/funding/internal-funding/hoppe.shtml |
| Jan. 26, 2018 | 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 |
| 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. Anita Joy, Bldg. 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. Anita Joy (x: 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 Gullledge** or **Diane Cox** 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 Gullledge or Diane Cox as early as possible in the development process.
3. Obtain training to access and upload all documents to Kuali Research portal <http://www.siu.edu/funding/external-funding/kuali-research.shtml>
4. Negotiate budget items, such as released time or matching funds, with your department chairperson and/or Dean.
5. Complete the grant application on Kuali Research portal. Be sure to obtain the signatures of your co-investigators and chairperson(s).
6. Once your application is complete within the Kuali 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. **Following review and approval through the Research Committee and the Dean, please submit the full proposal via Kuali Research portal to the SIUE ORP AT LEAST FIVE (5) DAYS BEFORE THE AGENCY DEADLINE DATE.** The proposal will be checked for compliance, budget correctness, and signatures.

Please contact Teri or Diane 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 Gullledge, x: 3114 or Diane Cox, x: 5886

For budget questions: Teri Gullledge, x: 3114

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

For assistance with the Kuali Research portal: Michelle Shatto, x: 7060

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 or 618-650-3467

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

Institutional Official: Jerry Weinberg, 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/compliance/animal-care-and-use/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
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
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 lskelto@siue.edu.

Additional Resources:

Policy on instructional and research animal welfare can be found on the animal care research policies page <http://www.siue.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 Appendix VIII of the Centers for Disease Control manual "Biosafety in Microbiological and Biomedical Laboratories <https://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.

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.

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 FCOI Policy have filed appropriate disclosure forms with the Graduate School.

An Investigator is responsible for submitting a completed SIUE Financial Conflict of Interest Disclosure form 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. Investigators must submit the SIUE FCOI Disclosure form(s) 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 the SIUE FCOI Disclosure form(s) prior to beginning the work.

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

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.

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.

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

- SIUE revises its FCOI 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 FCOI policy can be found at

<http://www.siu.edu/compliance/conflicts-of-interest/disclosure-guidelines.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.

Noncompliance with export controls requirements carries significant institutional AND personal risks <http://www.siu.edu/compliance/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 <http://www.siu.edu/policies/1m7.shtml>.

Most SIUE personnel only encounter export control when traveling internationally http://www.siu.edu/compliance/export-controls/international_travel.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 SIU General Counsel <http://siusystem.edu/general-counsel/staff.shtml#Edwardsville>.

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

For additional assistance, visit the FAQs. <http://www.siu.edu/compliance/export-controls/index.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/getting_started/fly_for_work_business/becoming_a_pilot/

The nearest testing center to SIUE is:

Southwestern Illinois College

4950 Maryville Rd.

Granite City, IL

(618)931-0600

Policies and other information can be found <http://ospa.siu.edu/policies/system-policy-on-unmanned-aerial-systems.php>. Submit the UAS Pilot-Operator Qualifications Form, SIUE UAS Internal Application, and UAS Registration Form to jweinbe@siue.edu and sonjie@siu.edu.

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>.

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.

STEP 1

Determine if your project requires IRB review: Consider the following 2 definitions. If your project fits both definitions, you will need IRB review:

Research means a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.

Human subject means a living individual about whom an investigator conducting research obtains data.

STEP 2

Complete Required Training <http://www.siu.edu/compliance/training/index.shtml>: In addition to the IRB review process, you, the investigator, and all other investigators on the project, are required to complete mandatory human subjects training before you can receive IRB approval. See the Compliance Training webpage for details.

STEP 3

Determine IRB Protocol: There are 3 types of IRB review procedures. Choose from one of the three listed options and then follow the instructions in the tabs to the left.

IRB Exempt

Participants are NOT <18, pregnant, incarcerated, or decisionally impaired.

Research does not involve deception of participants

Participants are not identifiable, but if they are, there is minimal risk to participant if their identity was revealed.

Interview questions do not ask about sensitive or illegal information

IRB Classroom Protocol

For faculty members teaching a class in which students conduct research to learn about research methods and you want to complete a single IRB for the entire class. The research must be exempt and cannot be used for publication or graduate level thesis or final project.

IRB Non-Exempt

Research is not exempt or classroom protocol.

Clinical trials and Clinical Research materials are found in the IRB Non-Exempt Instructions.

STEP 4

IRB Review Procedure: As it is impossible to determine exactly how long a review will take, an approximate timeline for an exempt review may be 1 to 3 weeks, an expedited review may be 3 to 4 weeks, and a full board review may be 3 to 6 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 5

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 (Todd Wakeland at twakela@siue.edu or 618-650-2455) or SIU Risk Management at 618-536-3331.

STEP 6

Investigator Responsibilities following IRB approval: You must carry out the research as specified in your approved IRB protocol. Contact the IRB if you encounter the following situations:

Modifications to your approved project must be submitted to the IRB, via email, for approval before they are implemented.

Annual reports are due to the IRB for all non-exempt projects that continue into a second year.

Completion reports are due to the IRB for all non-exempt projects at the time of completion.

Unanticipated Problems and/or Serious Adverse Events must be reported to the IRB in a timely manner.

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).

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.

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.siue.edu/policies/1q1.shtml>
- 2) Academic Integrity <http://www.siue.edu/orp/researchpolicies/integrity.shtml>
<http://www.siue.edu/policies/1q5.shtml>
- 3) Research and Export Control <http://www.siue.edu/policies/1m4.shtml>
<http://www.siue.edu/orp/compliance/export/index.shtml>
- 4) Externally Sponsored Research <http://www.siue.edu/orp/researchpolicies/sponsored.shtml>
- 5) Responsible Conduct in Research Training and Individual Development Plan
http://www.siue.edu/orp/compliance/rcr_home.shtml
- 6) Conflicts of Interest <http://www.siue.edu/policies/1q9.shtml>
- 7) Biohazardous Material Use <http://www.siue.edu/orp/researchpolicies/biosafety.shtml>
- 8) Protection for Human Subjects <http://www.siue.edu/policies/1m9.shtml>
- 9) Instructional and Research Animal Welfare
<http://www.siue.edu/orp/researchpolicies/animal.shtml>
- 10) Intellectual Property <https://www.siue.edu/policies/1115.shtml>
- 11) Externally Sponsored Industry Projects <http://www.siue.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 | Learning Lab / 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: Ms. Michelle Shatto |
| 1109 | Lab: Dr. Anita Joy (Director, Office of Research) |
| 1110 | Lab: Dr. Anita Joy (Director, Office of Research) |
| 1111 | Hatton Room |
| 1114A | Men's Restroom |
| 1114B | Anatomy Storage Room (beside Men's Restroom) |
| 1115 | Utility |
| 1116 | Utility |
| 1117A | Women's Restroom |
| 1117B | OOR Storage Room (beside Women's Restroom) |

SECOND FLOOR

| <u>Room Number:</u> | <u>Name or Assignment:</u> |
|---------------------|---------------------------------|
| 2202 | Common Cell Culture Facility |
| 2203 | Lab/Office: Mr. Donald Reed |
| 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 | Common Cold Room |
| 2218 | Office: Ms. Kathryn Carter |

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, Reed |
| 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 ₂ incubators | Cell culture facility 2203 | Marcuzzi |
| Anaerobic Chamber | 2212 | Marcuzzi |
| Spiral Biotech Autoplate | 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 μ Quant Microplate Spectrophotometer for Microplate Reading (ELISA assays) | 2216 | Marcuzzi |
| Chemidoc Touch Imaging System | 2216 | Marcuzzi, Reed |
| 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 nd Floor | Marcuzzi |
| Several -20° C freezers | 2 nd Floor | Marcuzzi |
| Ultra-low/-80° C freezers (three) | 2 nd Floor | Marcuzzi |
| Sterilization: Laboratory Dishwasher | | Marcuzzi |
| Sterilization: Laboratory Autoclaves | | Marcuzzi |
| Animal facilities | Lower Level | Marcuzzi, Rowland, Welch, Joy |
| Anesthesia Equipment | | Rowland, 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 <http://www.siu.edu/dental/about/research-scholarship.shtml#forms>. 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.

| | | | | | (PLEASE PLACE EXTENDED COST AMOUNT IN APPROPRIATE CATEGORY:) | | | Cost for Shipping & Handling | Account # / Project Reference # to Charge | Total Cost |
|-------------|----------------------------|------------|----------|------------------|---|------------------------|-----------|------------------------------------|--|------------|
| Vendor Name | Catalog #/Item Description | Unit Price | Quantity | Extended 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. Anita Joy in the Office of Research via email (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.