

INDIANA UNIVERSITY SOUTHEAST

RESEARCH POLICY MANUAL

Office of Academic Affairs

Seventh Edition

2016

TABLE OF CONTENTS

Grant Support	4
Internal Support	4
Faculty Development Travel Grants	4
Faculty/Student Working Group Summer Fellowships	4
Grant-in-Aid of Research	4
Improvement of Teaching Grant	5
Large Grant Program	5
Mentor Partnership Program	5
Quick Response Mini-grant	5
Research Support Fund	6
Regional Research and Creativity Initiative	6
Second Meeting Travel Grants	6
Student Assistant Grants	6
Summer Faculty Fellowships for Research	7
Summer Faculty Fellowship for Teaching	7
Software Funding	7
Sabbatical Leaves of Absence	7
Support from the IU System	8
Research and Creative Activity Support	8
International Support	9
Support for IUS Students	9
Student Travel Awards	9
Student Research Fellowships	10
Faculty/Student Working Groups Summer Fellowships	10
Small Grants to Students	10
Student Conferences	10
IU Undergraduate Research Conference	10
IU Southeast Student Conference: Celebrating Achievement	10
External Contract and Grant Support	11
Application Procedures	11
Research Compliance	11
Human and Animal Subjects	11
Biological Safety	11
Radioactive Materials	11
Hazardous Materials	11
Technology Transfer	12
Policies Governing Research, Grants and Sabbaticals	12
Policies and Administration – General	12
Specific Policies and Guidelines	12
Summer Faculty Fellowships	12
Criteria for Evaluation	12
Instructions for Applying	13
Restrictions and Conditions	13
Grants-In-Aid	13
Instructions for Applying	13

Restrictions and Conditions	14
Second Meeting Travel Grants	15
Criteria for Evaluation	15
Instructions for Applying	15
Restrictions and Conditions	15
Faculty Development Travel Grants	15
Criteria for Evaluation	16
Instructions for Applying	16
Restrictions and Conditions	16
Quick Response Mini Grants	16
Improvement of Teaching Grants	16
Criteria for Evaluation	17
Instructions for Applying	17
Software	17
Sabbatical Leaves of Absence	17
Purpose	18
Terms of Leave	19
Eligibility	19
Scheduling	19
Application Procedure	20
Advisory Notification	20
Application	20
Revised Application	20
External Contracts and Grants Policies and Research Compliance	20
Timetable for Submission	21
Institutional Information	22
Budget Preparation	22
Facilities and Administrative Costs	22
Matching Funds	23
Protection of Research Subjects	23
Human Subjects Research	23
Education in Human Subjects Protection	23
Conflict of Interest	24
To Complete Your IRB Application	24
Undergraduate and Graduate Student Research	24
Projects Begun without Review	25
Animal Subjects Policy	25
Visitation of Animal Care Facilities	25
Research Misconduct and Fraud	26
Intellectual Property	27
Conflict of Interest	27
Affirmative Action and Equal Employment Opportunity	27

I. Grant Support

1. Internal Support

a. Support from IU Southeast

IU Southeast faculty members may apply for several types of support for research and creative activity. Funds for software and international projects are also available. Deadlines in addition to the ones listed below are sometimes announced. When deadlines fall on a weekend or holiday, applications are due the next business day. See Part II for restrictions, conditions, and application procedures applicable to the program listed below. Applications are available from <https://www.ius.edu/academic-affairs/research/index.php>. Questions, contact Academic Affairs (UC 152, 812 941 2208).

I. Faculty Development Travel Grants

These grants offer partial support for travel to conferences and workshops whose relevance is inter-disciplinary or cross-disciplinary. They may not be used to supplement annual meeting travel funds. These funds are administered jointly by the Research and Grants and Improvement of Learning Committees. All IU Southeast faculty are eligible. Applications for Faculty Development Travel Grants are reviewed by a joint subcommittee of the Research & Grants and Improvement of Learning Committees. <https://www.ius.edu/academic-affairs/files/internal-grant-app.pdf>

Deadlines: October 15, November 15, February 15 and March 15

II. Faculty/Student Working Groups Summer Fellowships

The purpose of the fellowships is to provide support for faculty working with 2 to 4 students on individual or joint research projects or creative work. The grant provides a full summer faculty fellowship for the faculty member and a fellowship for each student participant. The amount of the award varies, but in no case may it exceed 20% of the faculty member's 10 month salary (maximum \$8000). Only tenured and tenure-track faculty are eligible. Applications for Faculty/Student Working Groups are reviewed by the Research & Grants Committee. Faculty accepting Summer Faculty Fellowships cannot receive remuneration for teaching during the summer of the fellowship. <https://www.ius.edu/academic-affairs/research/application-guidelines-working-groups.php>

Deadline: February 15

III. Grant-in-Aid of Research

These grants provide support to cover expenses of research. The maximum is established each year by the Research and Grants Committee. The award has rarely exceeded \$1,000 for an individual applicant. All IU Southeast faculty are eligible. Applications for Grant-in-Aid of Research are reviewed by the Research & Grants Committee. <https://www.ius.edu/academic-affairs/research/guidelines-grant-in-aid.php>

Deadlines: October 15, November 15, February 15 and March 15

IV. Improvement of Teaching Grants

These grants support faculty efforts to promote the improvement of teaching at IU Southeast. Examples of eligible projects include the design of individual study units and learning modules, original design and production of materials and seed money for development of larger projects. The Improvement of Learning Committee determines guidelines and policies for these grants and makes recommendations to the Associate Vice Chancellor for Academic Affairs regarding their award. All IU Southeast faculty are eligible. Applications for Improvement of Teaching Grants are reviewed by the Improvement of Learning Committee. <https://www.ius.edu/academic-affairs/files/internal-grant-application-cover-sheet.pdf>

Deadlines: October 15, November 15, February 15 and March 15

V. Large Grant Program

The program allows IU Southeast faculty to apply for up to \$5000 in funding to support research or creative work. Only tenured and tenure-track faculty are eligible. Preference will be given to proposals that seem likely to result in external funding or increase the number of students participating in research and creative activity. Applications may take the form of requests for equipment, for matching funds, for large-scale survey studies, or for reassigned time from teaching to provide sufficient time complete an application for external funds. Applications for large grants will be reviewed by the IU Southeast Research & Grants Committee. The Chancellor will send in the names of all applicants and abstracts of those applications recommended by the Research & Grant Committee and Dean for Research to the IU Vice President for Research.

<https://www.ius.edu/academic-affairs/research/large-grant-guidelines.php>

Deadline: November 15

VI. Mentoring Partnership Program

The Research and Creativity Mentor Partnership program is aimed at fostering interdepartmental and/or intercampus collaborations to support the development of faculty skills and achievements in their field of scholarship and creative work. Only tenured and tenure-track faculty are eligible. Applications are reviewed by the Research & Grants Committee. <https://www.ius.edu/academic-affairs/files/mentor-partnerships.pdf>

Deadline: October 15, November 15, February 15 and March 15

VII. Quick Response Mini-Grants

These funds are available to pay minimal costs associated with research/creative work, the publication or presentation of such work or for the preparation of proposals for the funding of such work. Generally, the awards are approximately \$75. Mini-grants are administered by the Dean for Research. All IU Southeast faculty are eligible. Submit a memo detailing the request to Diane E. Wille, Dean for Research at dwille@ius.edu.

Applications accepted at any time

VIII. Research Support Program

The purpose of this fund is to provide \$10,000 to facilitate research and creative activity for new tenure-track faculty and to assist in their efforts to procure external funding and to recruit student assistants. Proposals must include a detailed budget, current curriculum vitae, and two letters of support, one letter of support must come from the school dean. The IU Southeast Research & Grants committee will review the Applications for Research Support and make recommendations to the Dean for Research, who will make recommendations to the chancellor. The chancellor will make the final decision in consultation with the IU Vice President for Research or his designee. In the event that there are no new tenure-track faculty members or no fundable applications, the funds will be added to the Large Grant Program funding available to all tenured or tenure-track faculty members. <https://www.ius.edu/academic-affairs/research/research-support-guidelines.php>

Deadline: October 15

IX. Regional Research and Creativity Initiative

This program allows IU Southeast faculty to apply for up to \$2500 in funding to support regional focused research or creative work. Successful proposals will connect the campus and faculty to the broader community, demonstrating the value of research or creative activity of a regional campus to the regional community. The research may address community challenges and/or potentially result in the development of opportunities for the community. The creative activity may promote artistic awareness or enhance the artistic culture of the community.

Preference will be given to proposals that seem likely to result in external funding or increase the number of students participating in research and creative activity. Proposals for the Regional Research/Creativity Initiative will be reviewed by the Research & Grants committee. <https://www.ius.edu/academic-affairs/research/guidelines-grant-in-aid.php>

Deadline: October 15, November 15, February 15, and March 15

X. Second Meeting Travel Grants

These grants offer partial support for faculty members who have committed their annual meeting travel funds and have the opportunity to participate in some other significant way at a second professional meeting. All IU Southeast faculty are eligible. Applications for Second Meeting Travel Grants are reviewed by the Research & Grants Committee. <https://www.ius.edu/academic-affairs/files/second-meeting-travel.pdf>

Deadlines: October 15, November 15, February 15 and March 15

XI. Student Assistant Grants

These grants provide support to cover expenses of an undergraduate student research assistant. All IU Southeast faculty are eligible. Applications for Student Assistant Grants are reviewed by the Research & Grants Committee. <https://www.ius.edu/academic-affairs/research/guidelines-grant-in-aid.php>

Deadlines: October 15, November 15, February 15 and March 15

XII. Summer Faculty Fellowships for Research

The purpose of the fellowships is to provide support for full-time summer activities related to research or creative work. Half fellowships may be awarded in special circumstances, only. The amount of the award varies, but in no case may it exceed 20% of the individual's 10 month salary (maximum \$8000). Only tenured and tenure-track faculty are eligible. Applications for Summer Faculty Fellowships for Research are reviewed by the Research & Grants Committee. Faculty accepting Summer Faculty Fellowships cannot receive remuneration for teaching during the summer of the fellowship.

<https://www.ius.edu/academic-affairs/research/guidelines-grant-in-aid.php>

Deadline: November 15

XIII. Summer Faculty Fellowships for Teaching

The purpose of the fellowships is to provide support for full-time summer activities related to teaching enhancement or curricular development. Recipients receive 20% of their salary . Any exceptions to the salary distribution, or number of Fellowships awarded, are decided upon by the members of that year's committee. Half fellowships may be awarded in special circumstances, only. The amount of the award varies, but in no case may it exceed 20% of the individual's 10 month salary. All IU Southeast faculty are eligible.

Applications for Summer Faculty Fellowships for Teaching are reviewed by the Improvement of Learning Committee. <https://www.ius.edu/academic-affairs/teaching-information/summer-faculty-fellowships-guidelines.php>

Deadline: November 15

XIV. Software

The Integrated Technology Committee is authorized to fund requests for software (i.e. programs executable on computers and/or information in forms that permit access by such programs) for academic purposes. Software may also be included as a line item on budgets submitted for Grants-in-Aid of Research and Improvement of Teaching Grants. All IU Southeast faculty are eligible.

Deadlines: The Integrated Technology Committee announces its deadlines each semester and makes its application available electronically. The established deadlines noted previously apply to software included in other budgets.

XV. Sabbatical Leaves of Absence

See page 17 for more details for sabbaticals. Only tenured faculty are eligible. Applications are reviewed by the Research and Grants Committee.

Deadlines: Remember, the application process for a sabbatical begins almost two years before your sabbatical begins.

March 15 – Please review your eligibility for a sabbatical. Notify your unit dean by e-mail of your intent to apply prior to March 15 (cc Teresa Andrews tandrews@ius.edu on this e-mail).

If you are thinking about a full-year sabbatical, start investigating possible funding sources. See the following web pages for assistance: <https://www.ius.edu/academic-affairs/research/external-grant-information.php>

Summer – Faculty who have notified their dean and are eligible for a sabbatical are e-mailed the sabbatical application.

Fall - Deadline for draft sabbatical application to be submitted to unit dean – October 1.
The Research and Grants Committee will review the draft and provide feedback.
Deadline for final sabbatical application to be submitted to unit dean – November 20.

b. Support from Indiana University System

I. Research and Creative Activity Support

IU Southeast faculty members also are eligible to apply for central funds from Indiana University and from centers and institutes that have system-wide missions. Many, but not all, are designed to encourage collaboration among faculty members on different IU campuses. Information about and applications for these and other programs can be obtained from the IU Southeast office of Academic Affairs, from the Office of the Vice President for Research(OVRP)in Bloomington, (812)856-2408 or from the web site <http://research.iu.edu/internal.shtml>.

a. Collaborative Research Grants program (IUCRG). This opportunity is open to faculty on all Indiana University campuses. The goals of this competition are to facilitate and support outstanding research and cutting edge discoveries by teams of experts who have not worked together previously in the project's subject matter. Teams should include experts from different campuses, schools, departments, or disciplines. The maximum funding per project will be \$75,000. See the following webpage for further information.
http://research.iu.edu/funding_collaborative.shtml

b. Indiana University New Frontiers in the Arts and Humanities

Indiana University New Frontiers in the Arts and Humanities is a seed funding program. The objective of this program is to help Indiana University faculty members by supporting the initial stages of path-breaking and transformative programs of scholarly investigation or creative activity.

There are four funding mechanisms:

- i. New Frontiers of Creativity and Scholarship grants of up to \$50,000 to assist in the development of innovative works of scholarship or creative activity (deadline October 15)
- ii. New Frontiers Experimentation Fellowships of up to \$15,000 to fund the very preliminary stages of new trajectories in research or creative activity (deadlines January 15 and June 15)
- iii. New Frontiers/New Currents grants of to \$20,000 to fund workshops, symposia, or small conferences with major distinguished thinkers on timely topics of significant and broad interest (deadlines September 15, and March 1)

- iv. New Frontiers Exploratory Travel Fellowships of up to \$3,000 to support national and international travel for faculty pursuing new and innovative research projects (deadlines October 15, December 15, February 15, April 15)

II. International Opportunities

IU Southeast faculty members also are eligible to apply for funds from the Office of the Vice President for International Affairs to support their international research and presentations. Information on these awards and grants are found at <https://worldwide.iu.edu/faculty/index.shtml>

- a. Exchange Program Opportunities with International Partners
<https://worldwide.iu.edu/activities/exchanges/faculty.shtml>
- b. Freie Universität Berlin–IU Joint Research Workshops and Short-term Research Grants
<https://worldwide.iu.edu/doc/FUB-IU-call-for-proposals.pdf>
- c. Fulbright Programs
<https://worldwide.iu.edu/faculty/grants/index.shtml#fulbright>
- d. Gateway–China, Gateway–Europe, and Gateway–India Seed Grants
<https://worldwide.iu.edu/faculty/grants/index.shtml#seedgrants>
- e. International Short-term Visitors Grants
<https://worldwide.iu.edu/faculty/grants/index.shtml#visitors>
- f. Language Learning Grants
<https://worldwide.iu.edu/faculty/grants/index.shtml#learning>
- g. Overseas Conference Grants
<https://worldwide.iu.edu/faculty/grants/overseas-conference/index.shtml>
- h. Overseas Study Program Development Grants
<https://worldwide.iu.edu/faculty/grants/index.shtml#development>

c. **Support for IUS Students**

IU Southeast provides several types of support for research, creative activity, and travel to student or professional conferences by IU Southeast students. When deadlines fall on a weekend, applications are due the following Monday. Applications are available from the Office of Academic Affairs (LB-152, ext. 2208) and at <https://www.ius.edu/academic-affairs/research/student-research.php>

I. Student Travel Awards

Students can apply for travel funds from the Dean for Research and the Student Affairs Office.

Provide partial travel funding for students who have the opportunity to participate in a student or professional meeting. Funds are limited and awarded competitively. Application is available here: <https://www.ius.edu/academic-affairs/files/student-travel-awards.pdf>. Applications are reviewed by the Dean for Research. There is an expectation that students applying for this funding will already have applied for Learning Enrichment Funds in the Office of Student Affairs:
<https://www.ius.edu/student-affairs/for-students/student-travel-funds.php>

Deadline: Applications are accepted at any time.

II. Student Research Fellowships

Four fellowships of \$1015 are awarded each semester to allow students to carry out major independent projects under the supervision of a faculty member. Students may also apply for \$500 in research supplies and equipment. Faculty mentors receive a \$500 stipend. Applications are reviewed by the Research & Grants Committee. Application is available here: <https://www.ius.edu/academic-affairs/files/student-research-fellowship-application.pdf>

Deadlines: For fall and spring semesters, the deadline is the end of the first week of classes. For summer semester, the deadline is March 15.

III. Faculty/Student Working Group Fellowships

As part of the Faculty/Student Working Groups Fellowship described in section 1.A.II, students participate as part of a faculty/student working group application. Student research fellows receive a \$1015 research fellowship. Applications are reviewed by the Research & Grants Committee. Application is available here: <https://www.ius.edu/academic-affairs/files/internal-grant-application.pdf>

Deadline: February 15.

IV. Small Grants to Students

Limited funds are available for independent undergraduate research and creative work conducted by a student with faculty supervision. Applications are reviewed by the Dean for Research. Application format consists of a memo addressed to the Dean for Research detailing the project and the budgetary needs. Submit the memo to the Academic Affairs Office (US-154). Funding is generally limited to a maximum of \$75.

Deadline: Applications are accepted anytime.

V. Student Conferences

- a. IU Undergraduate Research Conference. Open to all IU undergraduate students. This conference typically occurs the Friday before Thanksgiving.
- b. IU Southeast Student Conference: Celebrating Achievement

The purpose of the IU Southeast Student Conference is to promote and celebrate the excellent research and creative work conducted by IU Southeast students. The conference is held each year the Friday before Finals week. Abstracts are reviewed by the Student Conference Planning Committee. All IU Southeast students are eligible to participate.

<https://www.ius.edu/student-conference>

2. External Contract and Grant Support

External sources of funding include state and federal government agencies and private foundations. The IU Southeast External Grant Information webpage (<https://www.ius.edu/academic-affairs/research/external-grant-information.php>) provides the best starting point for information about external grant applications and sponsored research services at IU.

- a. Resources are available to assist with the searching for funding: <https://www.ius.edu/academic-affairs/research/external-grant-information.php>
- b. External Grants and Contracts time table is available here: <https://www.ius.edu/academic-affairs/research/external-grant-contract-timetable.php>
- c. Preparing a budget and application: http://researchadmin.iu.edu/GrantContract/gc-propprep/gcs_budget.html and <http://grantspace.org/training/self-paced-training/proposal-writing-short-course>
- d. Post award administration: http://researchadmin.iu.edu/GrantContract/gc-award/award_home.html

3. Research Compliance

a. Human and Animal Subjects

All proposals involving the use of live subjects require additional paperwork prior to submission. Information on Institutional Review Board and Institutional Animal Care and Use procedures may be found in the section on Policies (page 23). Information is also available at this website: <https://www.ius.edu/academic-affairs/research/research-compliance.php>

- b. For information about Environmental Health and Safety please see: <https://www.ius.edu/environmental-health-safety/programs-policies.php>

1. Biological Safety

All proposals involving any research or teaching activities involving recombinant DNA, human tissues or fluids, or other infectious agents, authorization must be obtained from the IU Institutional Biosafety Committee (IBC). See the following webpage for more information: <http://researchcompliance.iu.edu/ibc/index.html>.

2. Radioactive Materials

See the following webpage for more information including contact numbers for the radiation safety officer and for radiation waste disposal: <http://ehs.iu.edu/topics/radiation-safety/index.shtml>. For more information on radiation safety please see: <https://protect.iu.edu/environmental-health/radiation/index.html>

3. Hazardous Materials

For further information see the following webpage: <http://ehs.iu.edu/topics/environmental-management/index.shtml>. For more information on Hazardous materials and chemical safety please see:

<https://protect.iu.edu/environmental-health/occupational-health/hazard-communication.html> and <https://protect.iu.edu/environmental-health/laboratory-safety/lab-safety-chemical-hygiene/index.html>

c. Technology Transfer

The IU Research and Technology Corporation (IURTC) is a not-for-profit agency that assists IU faculty and researchers in realizing the commercial potential of their discoveries. Serving as a centralized contact, IURTC's objectives are to stimulate the transfer or commercialization of intellectual property; facilitate development of industrial collaboration; and provide education, resources and assistance to the faculty, students, and staff related to the identity and protection of intellectual property and license portfolios. IURTC provides training and information, develops relationships with industry, negotiates license terms, and assists in the management and protection of intellectual property. Further information can be found on the following webpage: <http://iurtc.iu.edu/about/index.shtml>. Information regarding Indiana University's Intellectual Property Policy may be found in section II.G.

II. POLICIES GOVERNING RESEARCH, GRANTS, AND SABBATICALS

1. Policies and Administration – General

The policies pertaining to internal grants, fellowships, and sabbatical leaves derive from IU and IU Southeast administrative policies and from decisions of the IU Southeast Research and Grants Committee which is responsible for making recommendations to the Executive Vice Chancellor for Academic Affairs regarding these awards. The committee exercises broad discretion within the bounds of these policies. For example, it decides the number and maximum amounts of grants, when application deadlines will be, and what kinds of support will be given priority. The policies pertaining to extramural grants and contracts derive from IU and IU Southeast administrative policies and practices and from the policies of individual funding sources. Because of the complexity of these policies, it is essential that prospective grant applicants discuss their projects and budgets with the Dean for Research before and during the preparation of a proposal. The Dean for Research is responsible for insuring that applications for research support, whether internal or external, adhere to the relevant administrative policies. For internal awards, he/she is responsible for setting up accounts, transferring funds, monitoring accounts, and insuring that mandated progress reports are filed. For external awards, these post-award functions are carried out by Grant and Contract Services in the Office of Research Administration at Bloomington. The Dean for Research serves ex officio as a voting member of the Research and Grants Committee. Applicants are encouraged to submit all applications for internal funding electronically in Word.

2. Specific Policies and Guidelines

a. Summer Faculty Fellowships:

These fellowships provide support for full-time scholarly activity during the summer months.

I. Criteria for Evaluation

In reviewing applications, the IU Southeast Research and Grants Committee will base its recommendations on the following criteria:

1. Applicant's competence for the project (i.e., background, training, preparation, and previous research or creative work in the area);
2. Presumed contribution to knowledge (can be established by summarizing key works in the area);
3. Method and plan of work;
4. Evaluations of the project by knowledgeable reviewers; and/or
5. Documented accomplishments on previous research projects;
6. Overall clarity and quality of the proposal;
7. When the applicant last received similar support (i.e., preference is given to junior faculty and to those who have not been supported recently);
8. Whether the project is likely to lead to external support.

II. Instructions for Applying

1. Applications are available via the web at <https://www.ius.edu/academic-affairs/research/guidelines-grant-in-aid.php>. References should be sent directly to the Dean for Research and will be held in confidence, i.e., their contents will not be shown to the applicant. Comments by referees must be germane to the project. A letter from the applicant's Dean is required in all cases. Applicants without an established record of research are advised to obtain one or more additional references from person(s) knowledgeable in the field of the proposed project.
2. Previous financial support for this research area must be detailed; sources, dates and amounts of awards, and progress.
3. Applications and letter(s) of support must be sent to the Dean for Research in Academic Affairs by the announced deadlines.
4. A detailed plan of work including an explicit statement of the research hypothesis or question and a description of the research methods (or comparable information as appropriate to the applicant's discipline is required).
5. A statement indicating whether the project can be carried out without additional funding is required.

III. Restrictions and Conditions

1. All laws, regulations and policies with regard to research using live human or animal subjects or hazardous materials will be followed.
2. A progress report will be required by October 1 following the fellowship.
3. Awards are not made to complete degree work, e.g., dissertations.
4. The I.R.S. may consider these fellowships as income. The University is required to make the standard deductions for income tax and F.I.C.A.
5. Individuals whose employment will not continue through the following academic year are ineligible for Summer Faculty Fellowships. Fellows terminating their employment for the following academic year after receiving fellowships will be required to repay the university.

b. Grants-in-Aid

These grants provide money to cover expenses of research or creative activity. In reviewing applications, the IU Southeast Research and Grants Committee will base its recommendation on the same criteria found under Summer Faculty Fellowships:

I. Instructions for Applying

1. Applications are available via the web: <https://www.ius.edu/academic-affairs/research/guidelines-grant-in-aid.php>.
2. A detailed budget is required.
3. Hourly wages should show both hourly rate and number of hours and include the current F.I.C.A rate for any hours worked by students who are not enrolled at least .5 FTE.
4. Travel should show both mileage and the coach class air fare. Whichever is least expensive is the maximum that will be awarded. Mileage should be calculated in accordance with current IU travel policy.
5. When the travel for which the funding is requested is exclusively for the purpose of gathering research data, the Committee will consider requests for travel to a foreign destination as well as travel within a foreign country.
6. Faculty members delivering papers to international conferences should apply to the Overseas Conference Fund for support. See the following webpage for further information: <https://worldwide.iu.edu/faculty/grants/overseas-conference/index.shtml>
7. Grant-in-aid funding can be used as matching funds when applying for an Overseas Conference Grants (IU Worldwide).
8. University policy does not permit reimbursement for mileage in a foreign county. It does permit reimbursement for the costs of air, rail or coach tickets and/or the cost of car rental. Also, gasoline purchases are reimbursable.
9. Items labeled "miscellaneous" or "other expenses," unless clarified, will not be funded.
10. Per diem will not be awarded, although, if lodging and meals are itemized separately, lodging may be awarded in some circumstances.
11. Travel to Bloomington or other IU campuses ordinarily will not be awarded.
12. A justification should be given for each budget item.

ii. Restrictions and Conditions

1. See Restrictions and Conditions under Summer Faculty Fellowships.
2. Requests for capital equipment are usually not funded; such purchases should be made from other sources of funding.
3. Travel for professional meetings is supported from other funds, as are teaching innovations.
4. Under most circumstances, a research account is opened and the budgeted funds deposited. The principal investigator serves as account manager and the Dean for Research as account supervisor. The account manager is responsible for expenditures from the account in keeping with university fiscal policies. Transfer of funds within a budget must be approved by the Research and Grants Committee or the Dean for Research.

5. The account manager is personally responsible for the balance if the account becomes overdrawn.
6. Funds remaining after a project is completed should be returned to the Research and Grants Committee.
7. If a project supported by a Grant-in-Aid yields royalties or other income, the grantee is required to repay the University from such personal income when the amount is in excess of \$100 in any year. Thus, each year that the income exceeds \$100, the recipient is obligated to repay one-half of such excess until the grant is repaid.

c. Second Meeting Travel Grants

These awards provide partial support for travel to a second professional meeting in a given academic year.

I. Criteria for Evaluation

In evaluating applications, the members of the Research & Grants Committee will base its recommendation on the following criteria:

1. The nature of the applicant's participation in the second meeting,
2. The nature of the applicant's participation in the meeting for which regular travel funds were used;
3. The general level of the applicant's participation in scholarly associations;
4. When the applicant last received similar support, (i.e., preference is given to those who have not been supported recently).

II. Instructions for Applying

1. Applications are available from the Office of Academic Affairs or via the web at <https://www.ius.edu/academic-affairs/files/second-meeting-travel.pdf>. Applications are to be submitted through that Office of Academic Affairs.
2. Printed materials about the meeting, letters of acceptance and/or an invitation to participate should be included.
3. Breakdown of travel expenses is required.

III. Restrictions and Conditions

1. All Indiana University regulations governing travel apply.
2. The maximum grant from this source is \$400. There is no restriction on other sources of partial funding except that these funds may not be used to supplement those allocated for the faculty member's annual professional trip or first meeting.
4. Ordinarily awardees will charge expenses, up to the amount of the award, to their School's travel account. Schools will be reimbursed by the Office of Academic Affairs at the end of the fiscal year. Evidence that the awardee has attended both first and second meetings should be provided.
5. As a rule, no awards will be made retroactively.

d. Faculty Development Travel Grants

These awards provide partial support for travel to workshops, conferences, chautauquas, meetings and the like. The grants are administered jointly by the Research and Grants and Improvement of Learning Committees. In evaluating applications the reviewers will base their recommendation on the following criteria:

I. Criteria for Evaluation

1. The nature of the event and its participants;
2. The manner in which the IUS faculty member will participate;
3. The benefit to IU Southeast or some unit of IU Southeast broader than a single discipline which will presumably accrue as a result of the faculty member's participation.

II. Instructions for Applying

1. Applications are available via the web: <https://www.ius.edu/academic-affairs/research/guidelines-grant-in-aid.php>. Applications are to be submitted through the Academic Affairs Office.
2. Printed materials about the event and/or an invitation to participate and complete information about costs of attendance and other sources of partial support must be included.
3. A letter from a Dean or other appropriate administrator or colleague attesting to the contribution the applicant's attendance can make to IUS must be included.

III. Restrictions and Conditions

1. All Indiana University regulations governing travel apply.
2. There is no restriction on other sources of partial funding except that these funds may not be used to supplement those allocated for the faculty member's annual professional trip.
3. Ordinarily awardees will charge expenses, up to the amount of the award, to their school's travel account. Schools will be reimbursed by the Office of Academic Affairs at the end of the fiscal year.
4. Evidence that the awardee has made the trip should be provided.
5. As a rule, no awards will be made retroactively.
6. In accepting these funds the faculty member agrees to share the knowledge she/he has gained in an appropriate forum and in a timely fashion.

e. Quick Response Mini Grants

These funds are available to pay minimal costs associated with research/creative work, with the publication or presentation of such work, or with the preparation of proposals for the funding of such work. Typical uses are copying, long distance phone calls, database searches, and manuscript submission fees. Application is in the form of a memo submitted to the Dean for Research providing a one-paragraph description of the project and a statement regarding the proposed use of the funds. Awards are not made in cash; where feasible items or services are charged to existing accounts and reimbursed by Academic Affairs.

f. Improvement of Teaching Grants

These grants provide money to support innovative approaches to teaching, to enhance the uses of technology in the classroom, to obtain classroom resources that are not funded as equipment or have been placed on annual equipment requests and not funded, and to assist with registration fees for conferences directly designed to improve teaching through improved methods or increased knowledge of materials to be taught.

I. Criteria for Evaluation

In reviewing applications, the IUS Improvement of Learning Committee will address itself to the following factors:

1. Contribution to improvement of teaching.
2. Benefits to be gained from the project.
3. Overall quality and clarity of the proposal.
4. Other funding sources applied for/received for the project.
5. Whether there are aspects of the project which are applicable to other disciplines.

II. Instructions for Applying

1. Applications are available via the web: <https://www.ius.edu/academic-affairs/teaching-information/teaching-guidelines.php>.
2. Applications must be sent to the Associate Vice Chancellor for Academic Affairs through the Dean by the announced deadline.
3. Financial support for this and other projects must be detailed: sources, dates and amounts of awards.
4. A detailed budget is required:
5. Hourly wages should show both hourly rate and number of hours and include the current F.I.C.A. rate for any hours worked by students who are not enrolled at least .5 FTE.
6. Travel should show both mileage and the coach class air fare. Whichever is least expensive is the maximum that will be awarded. Mileage should be calculated in accordance with current IU travel policy.
7. Items labeled "miscellaneous" or "other expenses", unless clarified, will not be funded.
8. Per diem will not be awarded, although, if lodging and meals are itemized separately, lodging may be awarded in some circumstances.
9. Travel to Bloomington or other points within the IU system ordinarily will not be awarded. Individuals whose projects involve travel to other IU campuses may be eligible for funding from other sources.

g. Software

Both individual and network software for research or teaching may be funded. Committees may exercise their best judgment and forward software requests from one to another. All requests to purchase software must be reviewed by the IUS Integrated Technology Committee before submission to any committee that provides funds. The purpose of this review is to avoid unnecessary duplication, to assure a good fit between software and hardware, and to identify the appropriate vendor. In reviewing proposals, priority will be given to purchases for which no additional hardware is required.

3. Sabbatical Leaves of Absence

Faculty members should refer IU Policies webpage:

<http://policies.iu.edu/policies/categories/academic-faculty-students/vacations-leaves-separations-academic-appointees/Sabbatical-Leaves-Program.shtml>. The following information interprets those policies as they apply at IU Southeast: <https://www.ius.edu/academic-affairs/files/faculty-manual-b.pdf>.

a. Purpose

The purposes of the sabbatical leave program are to provide time to faculty for scholarly research and creative work including travel that may be required and to allow faculty to keep abreast of developments in their field. A sabbatical leave is granted on the basis of an acceptable proposal from the faculty member, indicating the manner by which these general objectives are to be achieved. Acceptable programs for the use of time may include:

- i. Research on significant problems.
- ii. Important creative or descriptive work in any means of expression, for example, writing, painting, and so forth.
- iii. Postdoctoral study along a specified line at another institution.
- iv. Other projects consistent with the purposes of sabbatical leave as defined by IU policy.
 - a. Retraining to teach in a new discipline or area.
 - b. Other projects satisfactory to the Research and Grants Committee.

It is expected that the plan described in the proposal will be adhered to with reasonable diligence. The faculty member should advise the Executive Vice Chancellor of Academic Affairs, the Dean for Research and the Research and Grants Committee about any change in sabbatical plans which might occur after a sabbatical proposal has been approved. If the changes result in a completely new project, then a new proposal must be submitted for review. If the sabbatical proposal is based on the assumption that the faculty member will take a one-year sabbatical, and a year-long leave does not materialize, then the Executive Vice Chancellor of Academic Affairs, the Dean for Research and the Research and Grants Committee must be notified as to how the proposal will be affected by the shortened leave period. For example, if more than one project has been proposed and not all can be completed, then the faculty member must notify the Executive Vice Chancellor, the Dean for Research and the committee which of the projects will be pursued for a one semester leave. Faculty who are granted a one-year sabbatical leave must confirm to the Executive Vice Chancellor of Academic Affairs by March 1 whether they intend to take a full year leave at half salary. If, for any reason, the sabbatical leave is shortened to one semester, the compensation for that semester will be at half salary. Reinstatement to the faculty position for the balance of the year is contingent upon institutional needs and resources and upon the availability of a line position (IU Board of Trustees Policy).

Within three months after the termination of the leave, the faculty member will submit a report to the Dean for Research on a form designed for this purpose. It will be available to the Research and Grants Committee for use in evaluating future applications for such leaves. The Executive Vice Chancellor for Academic Affairs may request the Research and Grants Committee to review a sabbatical report and to advise the Executive Vice Chancellor whether the sabbatical leave time was used appropriately and in accordance with the

approved sabbatical proposal. In addition, failure to provide an adequate sabbatical report, in a timely manner, may be the basis for denial of subsequent requests for sabbatical leave.

b. Terms of Leave

Sabbatical leave will be for one semester at full salary or for one year at half salary. The sabbatical leave program requires that persons on sabbatical leave devote full time to the scholarly activity for which leave is granted. Thus, persons on sabbatical leave will receive no salary or stipend from other sources than the University except that persons on leave for a year at half pay may engage in other scholarly activity consistent with that for which leave is granted and receive salary, stipend or honoraria from other sources in such amounts that total salary, stipend, and honoraria do not exceed approximately the annual income normally earned, and persons on leave may receive grants from other sources for travel and research expenses incidental to their scholarly activity. Under special circumstances permission may be granted for a faculty member to augment a full-year, half-salary sabbatical stipend through part-time teaching at a host institution. The purpose of such an exception is to make it possible for a faculty member lacking outside support to pursue an opportunity for research or creative activity during a full-year rather than a half-year sabbatical leave. The faculty member must explain in writing how the prospects for a productive sabbatical leave will be enhanced, and must specify the nature and extent of the proposed teaching. The School Dean must then recommend the exception to the Vice Chancellor for Academic Affairs, who will make the final determination as to whether or not it can be allowed. Under no circumstances may total stipends, salaries, etc., exceed the normal salary the faculty member would have received had he or she been on normal appointment at IU Southeast. Faculty members who receive sabbatical leave for a full year at half salary should discuss their fringe benefits with the Office of Human Resources.

c. Eligibility

A faculty member is eligible to apply for one sabbatical leave during each period of seven years' full-time service (including time on sabbatical leave), following the completion of the first six years of full-time service as a faculty member at Indiana University Southeast. Years of service at another university will not count toward sabbatical eligibility. Leaves without pay do not count as part of the period by which eligibility for sabbatical leave is determined, except that recipients of nationally or internationally competitive fellowships may count up to one such year toward their next sabbatical leave. A faculty member may be granted one sabbatical leave in the seventh, eighth, ninth, tenth, eleventh, twelfth, or thirteenth year of service, and one in the fourteenth, fifteenth, sixteenth, seventeenth, eighteenth, nineteenth, or twentieth year of service. Ordinarily, however, a sabbatical leave will not be granted within less than four years following a preceding sabbatical leave. However, a sabbatical leave need not be taken in a single academic year but may be divided over several academic years. The sabbatical leave program applies only to persons who will return to their positions at Indiana University for at least one academic year following a period of sabbatical leave. For example, sabbatical leave will not be granted for the last year of a faculty member's service prior to retirement.

d. Scheduling

As far as possible, departmental schedules should be arranged so as to permit eligible members of the faculty to take leaves. In arranging schedules, an attempt should be made to minimize the cost of substitute instruction and the disruption of the departmental

program. To facilitate this planning, faculty members who wish to apply for leave during any part of a given academic year must begin the process approximately 18 months in advance of their anticipated leave.

e. Application Procedure

In accordance with a resolution of the IUS Faculty Senate (March 23, 1989), the Research and Grants Committee has established the following application schedule:

I. Advisory notification

By April 1 of the year preceding formal application potential applicants notify their school deans of their intention to apply for a sabbatical leave via a memorandum. They should indicate whether they anticipate taking a full-year or one semester leave. This notification is non-binding and does not require any information about the applicant's plans. Deans should attempt to resolve serious scheduling problems that would leave a particular discipline understaffed. Deans then forward lists of those planning to apply to the Dean for Research. The purpose of this step is to facilitate budget planning.

II. Application

By the first of October, those applying for sabbatical leaves at any time during the following academic year submit their applications to their deans. Forms for this purpose are e-mailed to faculty early summer and are also available from the Office of Academic Affairs. Three working days later, School Deans will deliver these applications to the Executive Vice Chancellor for Academic Affairs with a statement indicating how each applicant's essential teaching assignments will be covered, an estimate of the cost of doing so, and an evaluation of the proposed sabbatical leave project. The Office of Academic Affairs distributes the applications to the Research and Grants Committee. By October 31 the Research and Grants Committee will provide feedback to the applicants via the Dean for Research.

III. Revised Application

By November 21 revised applications are submitted to School Deans who forward them with details concerning schedule adjustments, additional staff, or other anticipated expenditures to the Dean for Research, who submits final applications to the Research and Grants Committee for discussion and recommendation to the Office of Academic Affairs. Applicants shall be given the opportunity to make representation to the committee in support of their applications. The executive vice chancellor makes recommendations regarding sabbatical leaves to the chancellor by January, and the chancellor in turn forwards recommendations for approval by the IU administration and Board of Trustees. The campus administration will notify the Research and Grants Committee and nominees of recommendations in a timely manner. A positive recommendation at the campus level provides sufficient certainty to permit the applicant to make definite plans for the sabbatical leave. However, final approval of sabbaticals is provided by the IU Board of Trustees.

4. External Contracts and Grants Policies

Contracts and grants from extramural agencies are subject to the policies and restrictions of the funding agency as well as of the university. Any faculty or staff member who intends to apply for

external monies should be sure he or she is thoroughly familiar with all applicable policies and restrictions. As noted above, prospective applicants should discuss their proposals with the Dean for Research well in advance of application deadlines. Doing so will insure adherence to university policies and will minimize delays in the administrative processing of applications. It is recommended that budget assistance be sought early in the process of proposal preparation.

a. Timetable for Submission

All proposals for external grants and contracts must be routed through the campus and the university. The following time table specifies the minimum amount of time required to assure that your proposal is postmarked or received on or before the due date. Please remember that at each step of the approval process the person whose electronic signature you need has to have time to read the proposal and may have several to read at once.

At any point in the process below, you may consult with Jean Borger, Grants Coordinator, (jmborger@ius.edu) for assistance with research, proposal development, and routing.

i. AS SOON AS YOU CONSIDER DEVELOPING A PROPOSAL:

Consult with the Dean for Research (dwille@ius.edu) to be certain you have all the information you require and understand the routing process. Provide due date. Clarify whether reviews for potential research risks or conflicts of interest are required. Clarify whether external letters of support are required and begin securing them. Discuss the need for matching funds or IUS resources with the Dean for Research and your unit dean or director. Check to see if there are any blackout dates when Academic Affairs or the IU Office of Research Administration (ORA) cannot process proposals due to holidays or vacation schedules. Allow added time for these, if needed.

ii. At least THREE WEEKS prior to due date:

Contact the ORA grant services division (resdev@indiana.edu) and let them know you are planning to apply for a grant. They will assign a staff member to work with you. Develop a draft budget and budget narrative and submit to your ORA staff contact along with the grant guidelines or RFP for the grant you are seeking. You may also submit an abstract or draft of your project narrative, if ready. On this and all other communication with ORA, cc the Grants Coordinator (jmborger@ius.edu), who will alert those who need to approve your documents that a proposal will be coming and will log your application for tracking and record-keeping purposes.

iii. At least TWO WEEKS prior to due date (earlier is better):

Budget, budget narrative, and grant guidelines/RFP must be submitted to ORA at least two weeks prior to due date. Your ORA staff contact will assist you in finalizing your budget and approve its final version. Upon approval, he or she will upload your grant application documents to date into the Quali system (electronic routing system). Once the documents have been submitted, you will receive an email indicating that an item on your Quali action list needs approval. Once you have approved it, your unit dean or director will be next on the list. The documents will then route through the other approvers.

iv. At least ONE WEEK prior to due date:

Submit project narrative and other components of application package to ORA. Check the routing of your proposal documents in the Kuali system to be certain that they are moving toward completion. Alert the Grants Coordinator if there appears to be a problem.

b. Institutional Information

Proposal coversheets usually require specific institutional data (e.g., IRS/Entity Number, DUNS Number, etc.) The grantee institution for extramural funds is always **Indiana University**. The only official authorized to sign for the university is **Stephen A. Martin**. In some cases, it may be appropriate to indicate that the actual site of the project is IU Southeast. Up-to-date information can be found at http://researchadmin.iu.edu/GrantContract/gc-propprep/gcs_insti_data.html.

c. Budget Preparation

Applicants should seek the advice of the Dean for Research when preparing grant budgets. Assistance is also available at the following webpage: http://researchadmin.iu.edu/GrantContract/gc-propprep/gcs_budget.html. Unless the agency specifies lower limits, requests for funds for travel, lodging, etc., should adhere to the university's current allowances in those areas. If permitted by agency guidelines, applicants may request salary support in contract or grant applications. The university policy is that total academic-year salary from all sources of university-administered funds may not exceed 100% of a faculty member's assigned salary for that year. For example, if a person receives a grant to pay 25% of his/her academic-year salary, the salary he/she receives from the general fund will be reduced by 25%. Summer salary requests should be at a weekly rate of 2.5% of 10-month salary. Up to nine weeks at this rate may be requested without approval. Requests for more than nine weeks will be considered only in unusual circumstances and must be approved by the Vice Chancellor for Academic Affairs. The University has established guidelines for the calculation of benefits for academic year and summer salaries for faculty members and others. These are available from the Dean for Research or at http://www.researchadmin.iu.edu/GrantContract/gc-propprep/gcs_rates.html

d. Facilities and Administrative Costs

Facilities and Administrative (F&A) costs are the costs to the University for conduct and support of a research project which cannot easily be separated or specifically identified with that project. They are sometimes known as overhead, indirect, or administrative costs. Examples are the costs of space, library facilities, utilities, and accounting services. The University's policy is to seek full reimbursement for F&A costs unless the granting agency's policies prohibit or limit it. Any request for less than full reimbursement must be accompanied by an explanation and an official statement of the relevant policies of the grant agency. Requests for F&A costs are determined by a percentage of the requested direct costs, except for costs of capital equipment. The percentage, or F&A cost rate, changes yearly. Applicants should discuss F&A cost requests with Dean for Research while preparing applications. Current IU F&A cost rates are available at http://www.researchadmin.iu.edu/GrantContract/gc-propprep/gcs_fanda.html. Faculty and staff members receiving grants that include F&A costs should discuss the policy for sharing those funds with the Dean for Research.

e. **Matching Funds**

Many grants require matching cash or in-kind contributions. The nature and sources of these must be discussed with the Dean for Research prior to budget preparation.

f. **Protection of Research Subjects**

All research, regardless of funding source, involving humans or live animals that is conducted on the IU Southeast campus or under IU Southeast auspices will adhere to Indiana University Southeast and Indiana University policies on the protection of research subjects. The Institutional Review Board for the Protection of Human Subjects in Research (IRB) and the Institutional Animal Care and Use Committee (IACUC) are responsible for monitoring research to insure compliance with these policies. Additional information on research compliance is available from the Dean for Research or can be found on-line at: <https://www.ius.edu/academic-affairs/research/research-compliance.php>

- I. Human Subjects Research (Institutional Review Board)
Effective July 1, 2015, review of human subjects research at all eight IU campuses is facilitated by the IU Human Subjects Office (HSO). All submissions to the IRB are made via KC IRB, the web-based system for entry and management of IRB submissions.
- II. Education in Human Subjects Protection: Recent federal regulations mandate a program of education in human subjects protection. All persons (**including students**) conducting research and seeking approval of the IRB are required to demonstrate that they have received training regarding the rights of research subjects and the conduct of research with human subjects. An on-line course (CITI) and tests are available to fulfil this requirement.

The CITI training must be completed and courses passed before your IRB application will be approved. You will take the 'Human Subject Research course'. There are two educational tracks: Biomedical or Social and Behavioral. Typically, research at IU Southeast involves behavioral and/or social science methods, please select Social/Behavioral Researcher course.

Here are step-by-step directions

Go to: http://researchcompliance.iu.edu/eo/eo_citi.html

Go to the bottom of this page and you will see:

Do you have an IU Network ID and Password? If you have an Indiana University Network ID (username and pass phrase), registration will automatically be done for you when you log in for the first time.)

Click on Yes

Sign in

Click on Indiana University/IU Health courses

If you need to "add a course or update learning groups". If so, select Social/Behavioral Researcher course.

Begin the Social/Behavioral Researcher course.

For questions about research with human subjects or the IRB process, please contact HSO or the IU Southeast IRB liaison: Faye Camahalan, 812 941 2136, fcamahal@ius.edu.

- III. Conflict of Interest: Go to http://researchcompliance.iu.edu/coi/coi_forms.html Click on “Research-Related Financial Interest Disclosure Form”, log in, read page and scroll to the bottom of the page, click on “yes” and then “continue”, provide the information requested and answer the questions, affirm your information and then submit.

- IV. To Complete Your IRB Application:

To start a new IRB application, go to One.IU and access “KC IRB” “All IRB Services”

For step by step instructions and assistance to start your IRB application access: http://researchcompliance.iu.edu/hso/hs_elearning.html

Frequently Asked Questions page may also provide useful information: http://researchcompliance.iu.edu/hso/hs_faq.html

For information regarding IRB policies and procedures, submission requirements, and contact information, please visit the IU Human Subjects Office website: <http://researchcompliance.iu.edu/hso/index.html>

- V. Undergraduate and Graduate Student Research

Many student projects that involve human subjects are not intended to or likely to lead to generalizable results. Such projects would not fall under the operational definition of research quoted above and would not be subject to IRB review.

Student research which may place subjects at risk, however, whether conducted as course assignments or not, or which is undertaken with the intent of adding to generalizable knowledge as, for example, a master's thesis, is subject to IRB review. Students who plan on sharing the results of their human subject research at a student or professional conference should seek IRB approval before initiating the study. Unfunded student projects which meet all of the following criteria, will not require review by the IRB:

- Research practica (usually in the form of course-related research projects and/or directed studies), the only objective of which is to provide research experience for the student or data for classroom use, and
- Which do not involve physically or psychologically invasive, intrusive, or stressful procedures or, in the judgment of the instructor, have the potential for placing subjects at more than minimal risk, and
- Which do not involve special populations.
- Which will not be presented at a student or professional conference.

The following procedures are to be followed for all undergraduate and graduate student research projects:

- Instructors are responsible for screening individual research projects and making the initial determination as to whether a given project meets the above criteria.
- If an instructor determines that a research project has as one of its purposes the production of generalizable knowledge or the results will be shared at a student or professional conference or that it may use members of special populations as subjects or involve risk, the project must be reported on the appropriate form provided by the IRB for its review and approval prior to initiating the research. Information on completing an IRB application is located here: <https://www.ius.edu/academic-affairs/research/research-compliance.php>
- If there is any doubt as to whether the project should be reviewed by the IRB, the Dean for Research or the IUS IRB liaison is to be contacted for assistance.
- In the event IRB review is not needed for a particular project, the student researcher and the instructor are still obligated to treat their subjects ethically. Students should always obtain evidence of informed consent.
- If it is anticipated that the study will be funded (regardless of source) and/or that the results will be presented outside the classroom or published, IRB approval must be obtained.

VI. Projects Begun Without Review

No internal or external funds will be released for projects involving human subjects until written approval from the IRB is documented.

g. Animal Subjects Policy

IU Southeast recognizes the important contributions to knowledge that arise from research and instruction employing animals as subjects. It also recognizes its responsibilities to insure that such animals are treated humanely, that they are maintained under the best possible conditions of health and tranquility, and that the public is protected from possible health hazards. Therefore, IU Southeast adheres to the principles and guidelines set forth in its Assurance of Compliance with PHS Policy on Humane Care and Use of Laboratory Animals and is registered with the USDA as a research site. To ensure compliance with appropriate policies and regulations, IU Southeast has established an Institutional Animal Care and Use Committee (IACUC) that includes a Doctor of Veterinary Medicine and a community representative. All research and teaching procedures involving live vertebrate animals must be reviewed by the IACUC. Forms on which to describe projects are available in the Office of Academic Affairs or online at <https://www.ius.edu/academic-affairs/research/research-compliance.php>. The Assurance and other relevant federal and university documents are also available.

Each animal colony must meet the requirements specified by federal or state laws. (The Guide for laboratory Animal Facilities and Care, prepared by the Institute of laboratory Animal Resources, and Public law 89-544, as amended by 91-579, shall be used as the references in apply these standards).

I. Visitation of Animal Care Facilities

Access to laboratory animal care facilities is generally limited to university personnel and students who are currently engaged in university-sponsored research or

instruction involving the use of animals. In the event that other persons desire to visit such facilities, the following guidelines apply:

- Potential visitors shall send a written request to the Dean for Research, stating which facility they wish to visit, the species they wish to observe, and the purpose of the visit. They shall also identify the specific individuals who desire to participate in the visit.
- The Dean for Research, or his/her designate, after consulting with the IACUC veterinarian, may arrange a visit if it is determined to be appropriate by the Dean for Research and veterinarian. The Dean for Research or his/her designate shall have the authority to control access to a specific research animal care area where it is determined that such control is essential to protect a specific research design.
- Visitors should be informed that IU Southeast and its animal care facilities are in compliance with the Animal Welfare Act, the NIH Guide for Care and Use of Laboratory Animals, and the Principles for Use of Animals in the PHS Manual for Grants and Contracts.

5. Research Misconduct and Fraud

The Public Health Service (PHS) requires that all PHS awardees have policies and procedures in place for dealing with allegations of scientific misconduct or fraud (42 CFR 50). Indiana University is concerned that members of the university community meet the highest standards of ethics in the conduct of research. The university has, therefore, established procedures for handling instances of suspected research ethics violations in all disciplines --scientific and nonscientific -- regardless of the source of support.

<http://researchcompliance.iu.edu/rio/index.html>

The policy, administered by the IU Vice President for Research, defines the various ethical breaches. These include misconduct such as plagiarism, falsification of data, abuse of confidentiality, suppressing or distorting contradictory data, deceptive publication attribution, and gross negligence; violation of research regulations; undisclosed conflicts of interest; misuse, misappropriation or misrepresentation of research funds; and failure to report observed misconduct. The policy also provides procedures for handling allegations of research ethics violations, which include maintaining the confidentiality of investigations. Persons who report a suspected violation in good faith are protected, as are persons accused of violating the standards of research ethics where no serious violation is in fact found. Allegations of research ethics violations are investigated by a university committee appointed by the Vice President for Research. The policy requires that data that are relevant for supporting and verifying the findings of research projects be retained by the investigator for at least three years after the expiration date of the project. It also requires that researcher maintain current records and logs with sufficient detail to ensure that the course of the research can be reconstructed precisely at a future date. Some granting agencies, including all agencies associated with the PHS, require that investigations involving their awardees be reported to the agency. Institutions with scientific misconduct assurances on file with the PHS must make an annual submission to the Office of Research Integrity (ORI) comprising an aggregate report on allegations, inquiries, and investigations, along with an annual assurance update [42 CFR 50.103(b)]. The university's research risk compliance officer maintains a repository of data on allegations, inquiries, and investigations as mandated by ORI for its review of data for internal administrative purposes. It

is important to take note of the possibility that this information would have to be released in response to a request under the Federal Freedom of Information Act on PHS-funded projects.

6. Intellectual Property

As specified in the “Indiana University Intellectual Property Policy” and other documents, the university exercises intellectual property rights to all inventions, creations, innovations, discoveries, and improvements -- *other than* traditional works of scholarship and instructional materials -- that have been developed with significant University resources (see <http://policies.iu.edu/policies/categories/administration-operations/intellectual-property/intellectual-property.shtml>). Primary responsibility for identifying, protecting, and managing applicable intellectual property resides with the Indiana University Research and Technology Corporation (IURTC). Questions about intellectual property should be referred to, Simon Atkinson, Chair, Intellectual Property Policy Council, satkinso@iupui.edu.

7. Conflict of Interest

Indiana University requires an annual report of possible conflicts of interest in order that significant outside financial interests should be disclosed and reviewed to ensure that they are not improperly influencing teaching, research, or service, regardless of the source of funding. Disclosures must be completed by (1) all full-time tenured or tenure track faculty, (2) all visiting faculty, and (3) all other academic appointees who are currently principal investigators on research projects. The disclosure form must be completed at the following web site: http://researchcompliance.iu.edu/coi/coi_forms.html

Step-by-step instructions: Go to http://researchcompliance.iu.edu/coi/coi_forms.html. Click on “Research-Related Financial Interest Disclosure Form”, log in, read page and scroll to the bottom of the page, click on “yes” and then “continue”, provide the information requested and answer the questions, affirm your information and then submit.

8. Affirmative Action and Equal Employment Opportunity

Indiana University pledges to continue its commitment to the achievement of equal opportunity within the university and throughout American society as a whole. In this regard, Indiana University will recruit, hire, promote, educate, and provide services to persons based upon their individual qualifications. Indiana University prohibits discrimination based on arbitrary considerations of such characteristics as age, color, disability, ethnicity, gender, marital status, national origin, race, religion, sexual orientation, or veteran status. Indiana University will take affirmative action, positive and extraordinary, to overcome the discriminatory effects of traditional policies and procedures with regard to the disabled, minorities, women, and Vietnam-era veterans. All AA/EEO policies of the University are applicable to research and creative endeavors regardless of funding source. Detailed information concerning these policies and assistance in related matters may be obtained from the Campus Office of Equity & Diversity, USC 231, ext. 2306.