Faculty Handbook Revision Committee
Revision of Chapter 10 Research (draft)

Most changes in this chapter were simple updates and stylistic changes. The section on Export
Controls was updated based on input from the Office of Research Compliance. The section on
Whistleblower Protection Policy now includes mention of the “Ethics Hotline” that may be used
for anonymous reporting of ethics violations.

As is the case for all chapters starting with Chapter 9, the numbering will need to be updated to
account for the consolidation of Chapters 6 and 8. This will be carried out after the end of the
process.
10. RESEARCH

Research is an essential component of the University environment. Missouri State University encourages and facilitates faculty in the establishing and maintaining Research of programs of basic and applied research and of creativity.

10.1. RESEARCH FACULTY IN UNIVERSITY CENTERS

The University has established units within and separate from academic units that are focused on specific areas of research, education and service activities. Generally, the work of these centers is conducted by faculty whose primary appointments are in academic units, as well as by dedicated professional and technical staff and students. There are centers, however, which may have faculty whose primary appointment is in the center and are designated as research faculty.

10.2. THE JORDAN VALLEY INNOVATION CENTER

The Jordan Valley Innovation Center (JVIC) has a statewide designation as a Missouri Innovation Center in addition to being part of Missouri State University. JVIC houses two sub-divisions; the Center for Applied Science and Engineering (CASE) and the Center for Biomedical and Life Sciences (CBLS). These Centers report to the Vice President for Research and Economic Development through the JVIC Executive Director. JVIC and its sub-divisions, CASE and CBLS, provide product related research and development services in support of corporate affiliate projects. These business-oriented projects can provide new or enhanced research opportunities for faculty and supplement student educational backgrounds. The use of this technical expertise and infrastructure on corporate collaborative projects increases the competitiveness of Missouri-based corporations in the world marketplace.

Faculty members participate on JVIC sponsored research projects through a CASE or CBLS Associate Faculty appointment. The appointments must be approved by the appropriate Center Directors and the appropriate Department Head and Dean. Faculty members may also have access to the JVIC research facilities for their own purposes by writing a proposal to the appropriate Center director and receiving approval for the proposed work from the appropriate Center Director and the JVIC Executive Director. A third way to access the JVIC research support facilities would be through a grant approved by the appropriate Center Director that reimburses JVIC for equipment and facilities costs.

10.3. EXTRAMURAL SUPPORT FOR RESEARCH AND OTHER SPONSORED PROGRAMS

Fulfillment of the University's mission requires the acquisition of financial support for research, education and service projects that cannot be fully supported with internal funds. While faculty and staff may be named as Principal Investigators (PI) or Project Directors (POD), the
University is the actual recipient of the grant or contract and is legally responsible for assuring that a project is conducted in accordance with governmental regulations and sponsor's guidelines.

Faculty are to coordinate through the Office of Sponsored Research and Programs (OSRP) all requests for external financial assistance for University scholarship, Research, other creative activities, as well as educational and service activities. This requirement includes proposals to be submitted in hard copy or electronic format. Fellowship applications which involve funding that will be administered through the University also require coordination with OSRP prior to submission.

Prior to submission, the Principal Investigator (PI) or Project Director (PD) is to obtain approval from all personnel named in the proposal, as well as their Department Heads, Deans or others whose resources are to be committed to the project. Where applicable, prior approval may be required from institutional committees responsible for assuring that projects are designed and conducted in accordance with federal government regulations. All proposals submitted for external financial assistance must be signed by an authorized representative of the University prior to submission.

Once a grant or contract is awarded, the PI/PD is primarily responsible for assuring that the administrative, financial and technical matters associated with a project are managed in accordance with the terms of the grant, as well as relevant governmental regulations, and University policies. The PI/PD is to work with the Office of Grants and Contracts to assure proper management of financial matters, and with the Office of Sponsored Research and Programs on post-award administration including issuing of sub-awards, as well as seeking approval to changes in key aspects of grants/contracts.

The OSRP (1) disseminates information about current funding opportunities for federal agencies, foundations, and other sources of support; (2) assists faculty in developing proposals and budgets; (3) assures that proposals are in compliance with government regulations and University policies, and are processed through the institutional review system prior to submission; and (4) assists faculty in implementing grants and contracts. The OSRP also offers training programs to prepare faculty to be competitive in pursuing external financial support.

Faculty must comply with federal and other governmental regulations and University policies whenever externally or internally supported projects involve human subjects, vertebrate animals, bio-hazardous substances (including the use of recombinant DNA methods), and export controlled information and materials. Compliance includes completion of required training programs, obtaining pre-approval from institutional committees, and performance of the research, educational or service projects in accordance with an approved protocol. On occasion, this approval may be required prior to proposal submission. The OSRP assists these committees in implementing the relevant University policies. Information about the application and approval process for each of these areas can be found on the OSRP web site- http://
10.4. REGULATORY GUIDELINES FOR RESEARCH

Protection of a research environment for free and unfettered pursuit of knowledge is an important University responsibility. Infringement on this freedom must be restricted to those factors which are clearly essential to the protection of research subjects and the public at large.

There exist federal and state laws, regulations and guidelines in several areas which are designed for this purpose. In addition, the University community itself acts through its advisory committees and academic governance bodies to insure that individual research and scholarly projects incorporate appropriate safeguards.

The University has policies and procedures that assure Research, as well as education and service projects where applicable, are conducted in compliance with governmental regulations with regards to animal care and use, bio-hazardous substances, export controlled materials and information, and human participants subjects. Applicable policies and procedures can be found on the Office of Sponsored Research and Programs (OSRP) web site http://www.srp.missouristate.edu under University Policies. Faculty members are to understand that the policies related to animal care and use, biosafety, and export control also apply to educational projects, degree or course requirements, and service projects.

Faculty members planning to use live vertebrate animals, bio-hazardous substances, and human subjects in research projects regardless of the source of support must submit an application to the appropriate University compliance committee for review and approval prior to the start of the project, regardless of the source of funding. In some cases, external funding agencies require that certification of approval by these committees must accompany a proposal. Externally or internally supported projects will not be approved for expenditure of funds, unless the protocol has been approved by the applicable committee(s).

All personnel must be certified as having completed training on the federal regulations and University policy and procedures, as well as in topics related to the specific project and work environment before they can participate in these projects. Online training is generally available in all of these compliance areas through the OSRP web site, but project and work environment specific training is to be provided by the PI/PD.

The University also has established a mechanism for persons to report actual or suspected violations of governmental regulations and University policies and procedures related to the aforementioned compliance areas. The University views these "whistleblower" actions as an essential component of its role in monitoring activities to assure compliance with governmental regulations and the ethical standards to which all University personnel should strive.
10.4.1. ANIMAL CARE AND USE

List of items in next few sections originally in paragraph form, split into bullet points.

The use of animals in research, teaching, and outreach activities is subject to federal and state laws and regulations. The University has policies and procedures that assure activities will be conducted in an ethical manner in compliance with these governmental regulations. The Institutional Animal Care and Use Committee (IACUC) is responsible for implementing the applicable policy and procedures. Principal Investigators' (PIs) responsibilities include:

• understanding and adhering with applicable governmental regulations and University policy and procedures related to the use of animals;
• assuring the humane treatment of animals under their supervision; and Assuring that all personnel involved in a project understand and comply with applicable governmental regulations and University policies;
• assuring that all personnel potentially exposed to animals and their tissues, fluids, and waste have completed required training and are enrolled in the University's Occupational Health and Safety Program before accessing the work environment.

Persons covered by this policy include faculty, staff and students working with live vertebrate animals, as well as visiting researchers, educators, and other bona fide volunteers involved in these activities. Students whose exposure to vertebrate animals is restricted to participation in academic courses and other educational activities are exempt from the policy. These students are to receive training in the care and use of animals from the activity supervisor.

10.4.2. BIO-HAZARDOUS SUBSTANCES

The University has policies and procedures to assure that activities related to the use of bio-hazardous substances are conducted in a manner that complies with federal and other governmental regulations. Bio-hazardous substances include chemicals, infectious agents, pharmaceuticals, recombinant DNA, genetically engineered organisms, and radioactive materials. In addition, there are specific regulations that address agents and toxins defined by federal regulations as being targets of potential terrorist activities. All individuals who work with hazardous substances must accept shared responsibility for operating in a safe manner once they have been informed (a) about the extent of risk and (b) about safe procedures that should be followed.

The Institutional Biosafety Committee (IBC) is responsible for implementing the applicable policy and procedures. Principal Investigators' responsibilities include:

• understanding and complying with governmental regulations, University policies and procedures that apply to the acquisition, labeling, use, storage, transport, spill response, and disposal of hazardous materials; Assuring that other personnel accessing the work environment understand and comply with these regulations, policies and procedures, and general safety requirements applicable to a specific project and laboratory;
• posting warnings and restricting entry to work areas containing potentially hazardous materials;
• assuring that laboratory personnel have completed required training.
Assistance in ascertaining obligations under these laws and regulations may be obtained from the Director of Environmental Health and Safety Management in the Division of Administrative and Information Services.

10.4.3. EXPORT CONTROL

Based on discussions with Office of Research Compliance, the following section was updated for clarity and organization; basic policies have not changed.

U.S. export control laws apply to the University and its employees and students. In most cases, University-based projects are exempt because the work is considered as fundamental research, i.e., the work and its results will be made freely accessible through presentations at professional conferences or published in professional journals. Export control laws are applicable if dissemination of information about the project is controlled by a sponsoring agency or due to the use of a partner organization's confidential information. The following actions by a University employee fall within the export control laws:

• disseminating information about a project where such dissemination is controlled by a sponsoring agency or uses a partner organization's confidential information;
• sending or transporting materials, hardware, software (or related information) listed on the Department of Commerce's Commodity Control List outside of the U.S. Conveying materials, hardware, software (or related information) listed on the Department of Commerce's Commodity Control List to foreign nationals in this country.
• providing "defense services" such as technical assistance or training to foreign persons in the design or use of defense articles then the exemption may not apply.

Faculty also should be sensitive to export control requirements when hosting visiting scientists from other nations. Before embarking on a project that may fall within the export control laws, faculty must review and comply with all Federal Export Control Regulations and the University policy. The Office of Sponsored Research and Programs is responsible for implementing the policy and procedures that will assure University activities are conducted in accordance with export control laws.

U.S. export control laws apply to the University and its employees and students. The Director of Research Compliance is responsible for implementing policies and procedures that assure that University activities are conducted in accordance with export control laws. In most cases, University-based projects are not subject to the export control regulations because the work is considered as fundamental research, i.e., the work and its results will be made freely accessible through presentations at professional conferences or published in professional journals.

The following actions by a University employee fall within the export control laws:

• disseminating information about a project where such dissemination is controlled by a sponsoring agency or uses a partner organization's confidential information;
• sending or transporting materials, hardware, software (or related information) listed on
the Department of Commerce's Commodity Control List or Department of State's U.S. Munitions List outside of the U.S.;

- conveying materials, hardware, software (or related information) listed on the Department of Commerce's Commodity Control List or Department of State's U.S. Munitions List to foreign nationals in this country;

- providing “defense services” such as technical assistance or training to foreign persons in the design or use of defense articles.

Faculty also should be sensitive to export control requirements when hosting visiting scientists from other nations. Before embarking on a project that may fall within the export control laws, faculty must review and comply with all Federal Export Control Regulations and the University policy (see the Policy Library). A faculty member who has any uncertainties about the restrictions should contact the Office of Research Compliance for guidance.

10.4.4. HUMAN PARTICIPANTS SUBJECTS PROTECTION

More common terminology is “participants” not subjects – change made throughout section. More specific identification of “Belmont Report” provided. Bullet points for specific items.

Research involving human participants subjects may lead to have physical, psychological and/or social risks damage, and so the University has a responsibility to safeguard participants’ subjects' welfare. All research involving human participants subjects in any way, regardless of the source of support funds, must be reviewed and approved by the Protection of Human Participants Subjects Institutional Review Board (IRB) before it is undertaken. Research undertaken by students with faculty supervision is included in this policy.

The University is committed to the ethical standards for the use of human participants subjects in research as described in the National Commission for the Protection of Human Participants of Biomedical and Behavioral Research, The Belmont Report: Ethical Principles and Guidelines for the Protection of Human Participants of Research (Belmont Report) (which discusses expectations for respect for persons, beneficence, and justice) and as required under federal regulations. The Institutional Review Board for the Protection of Human Participants Subjects (IRB) is responsible for implementing the University policy and procedures. In accordance with federal regulations, research with human subjects is defined as systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge. Principal Investigators’ responsibilities include:

- understanding and complying with federal regulations and University policies and procedures regarding the ethical treatment of human participants subjects;

- assuring that other personnel involved in a project understand and comply with these regulations and policies; and assuring that all individuals involved in the design of a research project, as well as the collection and analysis of data have completed training on human participant subject protection.

This training may include federal regulations and University policies and procedures related to
the Health Insurance Portability and Accountability Act (HIPAA) when the research involves individually identifiable health information.

10.5. WHISTLEBLOWER PROTECTION POLICY
*Update site name; add information on Ethics Hotline.*

The University expects faculty, staff and students to conduct activities related to the aforementioned compliance areas in a manner that is consistent with applicable governmental regulations and University policies. The University provides various mechanisms to assist and encourage persons to come forward in good faith with reports or concerns about suspected compliance issues. Diligent efforts will be made to protect the complainant from retaliation for his/her activities in cooperation with, or initiation of, an inquiry or investigation, provided the complaint is not undertaken in bad faith. Procedures for reporting concerns can be found on the OSRP web site under University Compliance Information/ Policies. and also in the Policy Library. The University also provides an Ethics Hotline that allows anonymous telephone or online reporting of ethics violations. The Ethics Hotline site is maintained by an independent third party.

10.6. COPYRIGHT/PATENT POLICY
*Minor revisions*

In the course of conducting Research and other creative activities, faculty may invent or develop products that warrant patent or copyright protection because of their commercial potential. The ownership of intellectual property created by faculty members is determined by the University's Intellectual Property Policy. Faculty members should consult this policy to determine under particular circumstances that may apply to ownership of intellectual property which they have created. The Intellectual Property Policy is included in the Faculty Handbook as Appendix A. The policy will not be changed by the University except through the procedures specified for the amendment of the Faculty Handbook, Section 16.2.
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- posting warnings and restricting entry to work areas containing potentially hazardous materials;
- assuring that laboratory personnel have completed required training.

Assistance in ascertaining obligations under these laws and regulations may be obtained from the Director of Environmental Heath and Safety in the Division of Administrative and Information Services.
10.4.3. **EXPORT CONTROL**

U.S. export control laws apply to the University and its employees and students. The Director of Research Compliance is responsible for implementing policies and procedures that assure that University activities are conducted in accordance with export control laws. In most cases, University-based projects are not subject to the export control regulations because the work is considered as fundamental research, i.e., the work and its results will be made freely accessible through presentations at professional conferences or published in professional journals.

The following actions by a University employee fall within the export control laws:

- disseminating information about a project where such dissemination is controlled by a sponsoring agency or uses a partner organization's confidential information;
- sending or transporting materials, hardware, software (or related information) listed on the Department of Commerce's Commodity Control List or Department of State's U.S. Munitions List outside of the U.S.;
- conveying materials, hardware, software (or related information) listed on the Department of Commerce's Commodity Control List or Department of State's U.S. Munitions List to foreign nationals in this country;
- providing “defense services” such as technical assistance or training to foreign persons in the design or use of defense articles.

Faculty also should be sensitive to export control requirements when hosting visiting scientists from other nations. Before embarking on a project that may fall within the export control laws, faculty must review and comply with all Federal Export Control Regulations and the University policy (see the Policy Library). A faculty member who has any uncertainties about the restrictions should contact the Office of Research Compliance for guidance.

10.4.4. **HUMAN PARTICIPANTS PROTECTION**

Research involving human participants may have physical, psychological and/or social risks, and so the University has a responsibility to safeguard participants’ welfare. All research involving human participants in any way, regardless of the source of support funds, must be reviewed and approved by the Protection of Human Participants Institutional Review Board (IRB) before it is undertaken. Research undertaken by students with faculty supervision is included in this policy.

The University is committed to the ethical standards for the use of human participants in research as described in the *National Commission for the Protection of Human Participants of Biomedical and Behavioral Research, The Belmont Report: Ethical Principles and Guidelines for the Protection of Human Participants of Research* (which discusses expectations for respect for persons, beneficence, and justice) and as required under federal regulations. The Institutional Review Board for the Protection of Human Participants (IRB) is responsible for implementing
the University policy and procedures. In accordance with federal regulations, research with
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may apply to ownership of intellectual property which they have created. The Intellectual
Property Policy is included in the Faculty Handbook as Appendix A. The policy will not be
changed by the University except through the procedures specified for the amendment of the
Faculty Handbook, Section 16.2.