

2001-2002 Research, Vice Chancellor

Section

Document Name

Mission

The mission of the Office of the Vice Chancellor for Research and Graduate Education is promote academic excellence at the graduate level and advance the research activities of campus.

Goals and Objectives

I. Provide a user-friendly sponsored programs research office that provides appropriate reviews and approvals to meet university and funding agency policies requirements

A. Develop and implement an Electronic Research Administration (ERA) system

Campus Planning Theme: Best Practices

Secondary Goals:

Sub Unit: n/a

Time Frame: Four years

Actions taken for 2001-2002:

The Budget Module has been developed and first released April 25, 2002; The second release with increased functionality occurred on September 26, 2002; a third release is scheduled for mid-February, 2003. While not fully complete, the budget development module after the third release will dramatically simplify the creation and subsequent review of budgets for sponsored funding compared to the current paper process.

Pipeline Report began development during the fall 2002. This report, which lists proposals under development, will be an important tool for all administrative office staff who review sponsored funding proposals.

Route Sheet began redesign with a planned release date of June 2003. The revised route sheet should be easier and take less time to complete than the current ERA route sheet.

A grant from the NIH was received in September, 2002 to develop an ERA for human subject research protocol submissions. The goal is to have a release by fall 2003.

Evidence of Progress for 2001-2002:

By November 2003, 20% of all NIH and NSF proposal budgets are developed on the ERA system and electronically submitted to the research office. By April 2004, 60% of all NIH and NSF proposal budgets are developed on the ERA system and electronically submitted to the research office

Activities planned for 2002-2003:

A third release of the budget-development module is scheduled for mid-February, 2003, and the proposal route sheet will be revised by June 2003.

We are working with IUB and Purdue University, West Lafayette to develop a common ERA human subject system. It is very likely we will join a national consortium that is developing an ERA human subject system.

We will also work creating an ERA application for individual conflict of interest. If possible, we will also do this in collaboration with other universities.

- ☒ B. Stabilized the existing staff lines and add additional staff to support the increased sponsored program activity

Campus Planning Theme: Best Practices

Secondary Goals:

Sub Unit: n/a

Time Frame: Three years

Actions taken for 2001-2002:

The following staffing changes facilitated and improved our ability to handle our heavy workload and allowed some tasks to be transferred from the Director and Assistant Director to other support staff: Added Contract and Grant Administrator 11/1/01 (Heidi Bredemeyer) Added Grant Assistant 2/11/02 (Kim Anderson) Added floating Grant Specialist to assist with major proposal deadlines 5/20/02 (Etta Ward) Upgraded Contract Specialist from hourly to permanent part-time professional position 12/24/01 (Dawn Wilson)

Evidence of Progress for 2001-2002:

Time processing of proposals and grant awards. Time for new awards to be established

Activities planned for 2002-2003:

One of our highest priorities is to upgrade the position of Director of Corporate/Industrial Contracts to add two new grant administrators if funding can be secured. The work load for contracts has increased to the point that unreasonable delays have been occurring in completing corporate and industrial contracts.

Reorganize the Office of Corporate and Industrial Contracts to report to the Director of Sponsored Program Administration (Pam McKeough). To hire a new associate director of SPA to lead this unit and report to Pam Mckough.

- ▣ II. Provide support and oversight services for an effective research compliance program.

- ☒ A. Strengthen program on the protection humans participating in research activities

Campus Planning Theme: Best Practices

Secondary Goals:

Sub Unit: n/a

Time Frame: On-going

Actions taken for 2001-2002:

We spent much of the year drafting, editing and finalizing the Standard Operating Procedures (SOPs) for release and public comment. A number of different groups participated in discussion and provided comment during the drafting, editing and approval process of the SOPs. To date 22 different SOPs have been drafted.

We added an Assistant Director position which was filled by Jody Scher, and elevated Sara Ellis to the position of Associate Director. In addition, Regina Winger was given the title of Senior Research Compliance Coordinator and we created the position of Human Subjects Research Auditor which has been filled by David Finch. Within the Methodist IRB Office, a half-time Research Compliance Coordinator position was created to help manage the workflow.

We have completed transitioning our Multiple Project Assurance (MPA) which expired at the end of October 2002, to several Federal-Wide Assurances (FWAs). Since this new FWA process requires each institution to have a separate assurance, it has taken a great coordination effort to obtain the appropriate paperwork and sign-offs from each institution utilizing our IRBs.

A significant amount of time has been spent on reviewing and analyzing the new HIPAA regulations which will become effective in April, 2003. We have identified the gaps that we need to fill in our submission process and within our forms and are currently working on finalizing our policy and forms changes.

With the development of the Association for the Accreditation of Human Research Protection Programs (AAHRPP), our staff has spent many hours reviewing the AAHRPP accreditation standards and developing a plan so that we can move toward voluntary accreditation. We are now finalizing the self-study documentation to be submitted to AAHRPP. The application for accreditation will be for IUPUI and IUB.

We are in the final stages of developing an online system for reporting adverse events. This web-based application should be released for IUPUI use by February, 2003.

We applied for and received a \$250,000 grant from NIH to enhance the infrastructure for the protection human subjects in research studies.

Evidence of Progress for 2001-2002:

Obtain accreditation from the American Association for Human Research Protection Program

Maintain a record of being in good standing with the DHHS Office Human Research Protection.

Activities planned for 2002-2003:

Our objective is to create a common platform that will be used on the IUPUI, IUB, and Purdue University - West Lafayette campuses. We have designed the screens to assist researchers submitting the necessary information to complete a research protocol. The actual programming will be done by staff in UITs and Research and Sponsored Programs.

Develop a web-based instructional module for IRB members.

Develop instructional programs on the SOPs. This will likely include both web-based modules, and group instructions.

Develop educational programs for research participants. This will likely include brochures, video tapes, and web-based

Develop educational programs for research participants. The program should include, at a minimum, the following materials.

B. Continue coordination of the various research compliance programs

Campus Planning Theme: Best Practices

Secondary Goals:

Sub Unit: n/a

Time Frame: On-going

Actions taken for 2001-2002:

Established IUPUI/IUB research compliance committee January 2001. Completed a general risk assessment for most research compliance areas.

Evidence of Progress for 2001-2002:

Reduced incidence of non-compliance

Activities planned for 2002-2003:

Prioritize topics for responsible conduct of research education program.

Revise policies and Procedures such that research on human subjects complies with the requirements of HIPAA

Campus Planning Theme: Best Practices

Secondary Goals:

Sub Unit: n/a

Time Frame: One year

Actions taken for 2001-2002:

The Health Insurance Portability and Accountability Act (HIPAA) of 1996 requires compliance by April 14, 2003 with this new law. Existing policies and procedures related to research on human subjects for the IUPUI campus have been revised as of February, 2003.

Evidence of Progress for 2001-2002:

Receipt of revised research protocols.

Activities planned for 2002-2003:

Implement a comprehensive educational program to inform all researchers who have studies that include health information about the changes in procedures they must implement by April 14, 2003.

III. Provide support and oversight services for an effective research compliance program

☒ A. Continue coordination of the various research compliance programs

Campus Planning Theme: Best Practices

Secondary Goals:

Sub Unit: n/a

Time Frame: On-going

Actions taken for 2001-2002:

Established IUPUI/IUB research compliance committee January 2001. Completed a general risk assessment for most research compliance areas.

Evidence of Progress for 2001-2002:

Reduced incidence of non-compliance

Activities planned for 2002-2003:

Prioritize topics for responsible conduct of research education program.

☒ B. Strengthen the program on the protection humans participating in research activities

Campus Planning Theme: Best Practices

Secondary Goals:

Sub Unit: n/a

Time Frame: On-going

Actions taken for 2001-2002:

Created a web-based education program on basic principles on conducting research on human subjects. Through September 2001, 3,200 individuals have completed the course and passed the associated test. Initiated a program to establish standard operating procedures (SOPs) for research on human subjects. Twenty two SOPs are under development and should be available for broad discussion by December 2001. Once completed a clinical audit program will be implemented. Created 2.5 new FTE staff positions to support the activities of the research compliance office

Evidence of Progress for 2001-2002:

Obtain accreditation Maintain a record of being in good standing with the federal Office Human Research Protection.

Have an operation ERA system for human subject protocol submissions operational by the fall of 2003

Have all members of the IRB participate in our web-based educational program

Activities planned for 2002-2003:

Complete the application process for accreditation by AAHRPP

We will likely join a consortium led by MIT that is developing a Human Subjects ERA system. Our objective is to create a common platform that will be used on the IUPUI, IUB, and Purdue University / West Lafayette campuses. The web-based office administrative system is scheduled to be released by December, 2002, and the researcher protocol submission system should be ready by fall 2003.

Create a new PA 12 position to take lead responsibility in staffing IRB which was created this past year.

Develop a web-based instructional module for IRB members.

Develop instructional programs on the SOPs. This will likely include both web-based modules, and group instructions.

Develop educational programs for research participants. This will likely include brochures, video tapes, and web-based materials.

IV. Strengthen the educational programs on responsible conduct of research

A. Create Web-based educational modules on responsible conduct of research

Campus Planning Theme: Best Practices

Secondary Goals:

Sub Unit: n/a

Time Frame: Three years

Actions taken for 2001-2002:

As described in Goal II, Objective A, we have received a grant from NIH to strengthen our infrastructure for protect subjects involved research programs.

Evidence of Progress for 2001-2002:

Number of modules completed and the number of researchers who complete the courses.

Activities planned for 2002-2003:

An important part of the NIH grant is to develop educational programs on the SOPs we have written, educational programs for IRB members, and educational programs for research subjects.

Develop web-based instructional modules on a range of topics related to responsible conduct of research

Animal Subjects Biohazards Biological Safety Conflict of Interest

V. Promote the operation of strong centers and institutes on the IUPUI campus

A. Institute an effective review and approval process for new centers and institutes

Campus Planning Theme: Best Practices

Secondary Goals:

Sub Unit: n/a

Time Frame: On-going

Actions taken for 2001-2002:

Revised the campus policy on centers and institutes

Evidence of Progress for 2001-2002:

A listing of all active centers.

Activities planned for 2002-2003:

Compile a database of prime indicators of the center activities. Initiate a review process to determine which centers should retain recognition as university center.

VI. Achieve national and international recognition of the quality and extent of graduate programs at IUPUI

A. Increase financial support for graduate students

Campus Planning Theme: Teaching and Learning

Secondary Goals:

Sub Unit: n/a

Time Frame: On-going

Actions taken for 2001-2002:

Changed the allocation of fellowship funds from the end of the prior fiscal year to the year of when the funds are allocated. This shift allowed a one-time savings of \$1.1M. These funds are being used to supplement the regular fellowship budget over a 3 year period ending FY 2002-2003.

Evidence of Progress for 2001-2002:

Increase numbers of graduate students receiving financial support

Activities planned for 2002-2003:

Seek an increase in campus allocation of fellowship funds by at least \$350,000 per year.

Assist programs in obtaining additional training grants.

Encourage faculty to seek additional graduate student stipends within their research proposals

- ☑ B. Intensify recruiting and retention efforts
Campus Planning Theme: Teaching and Learning
Secondary Goals:
Sub Unit: n/a
Time Frame: On-going
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Actions taken for 2001-2002:

First Minority Visitation Day yielded 3 students entering PhD programs CIC activities remain effective recruiting tools The first Graduate Open House yielded 35 applications and 28 matriculants Combine Open House & Graduate Student Showcase into Explore IUPUI

Evidence of Progress for 2001-2002:

Increase in number of minority students enrolled in IUPUI graduate programs

Increase total number of enrolled graduate students

Activities planned for 2002-2003:

Increase support for the Minority Visitation Day Participate in "Explore IUPUI", Fall, 2003 Continue new student orientation program, assign to Assistant Dean Develop support system for graduate students (brown bag series) with OPD Develop contact with Alcorn State, per request of their president Consult with programs to develop targets for recruiting

▣ VII. Improve administrative and business practices to better support graduate education

- ☑ A. Provide and efficient application process for prospective graduate students
Campus Planning Theme: Teaching and Learning
Secondary Goals:
Sub Unit: n/a
Time Frame: On-going
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Actions taken for 2001-2002:

Improved training on SIS/electronic admission web center for programs

Negotiated for work-study student to offer training on web center for departments.

Created a program to transmit student application information from the SIS system to Purdue University. Completion of this program is dependent upon having a secure means of transmitting the data from IU to PU.

Evidence of Progress for 2001-2002:

The extent the new systems is full adopted

Activities planned for 2002-2003:

Continue to work with the respective graduate and professional programs to have the new on-line application process meet the needs of their programs.

VIII. Strengthen the activities the support the needs of post doctoral fellows

A. Establish an office for postdoctoral researchers and postdoctoral fellows

Campus Planning Theme: Teaching and Learning

Secondary Goals:

Sub Unit: n/a

Time Frame: Create the office within one year and sustain as a

Actions taken for 2001-2002:

Action on this objective has been delayed due staffing requirements to implement the SIS system.

Evidence of Progress for 2001-2002:

Establishment of the office and the subsequent participation of postdoctoral researchers and fellows in functions of the office

Activities planned for 2002-2003:

A committee to define policies for postdoctoral researchers and fellows will be appointed. The committee will also define the initial functions for the support office

Fiscal Health

RC Budget Summary and Fiscal Status as of 11/14/02

Operational Account 12-707-00

RC Budget Summary and Fiscal Status as of 9/28/01			
Operational Account 12-707-00			
July 1, 2001 Base	\$1,897,185		
Budget Contingency Cut	-\$5,763		
Additional Base President's Support	\$6,038		
Current Base		\$1,897,460	
Additional Funding/Expense			
IPR Fee Income	\$25,000		

IRB Fee Income	\$35,000		
GND Income	\$12,788		
RUGS Support	\$98,116		
NIH Grant Recoup	\$66,162		
Salary Savings	\$45,450		
Accreditation Expense	-\$15,000	\$242,516	
Total Projected Funding			\$2,139,976
Total Projected expenses			\$2,060,026
Projected Balance			\$79,950

Fellowships 12-701-01. Current Funding: \$1,364,980. Expected to be fully allocated for student fellowships by end of FY. This is the third year of an established plan to fund graduate fellowships with income derived during the current FY.

Research Support 12-701-05. Current Funding: \$319,815. All funds expected to be awarded for research initiatives by end of FY.

RC Base & Reserves

Operational	12-707-00	\$1,897,185
Fellowships	12-701-01	\$1,364,980
Research Support	12-701-05	\$ 319,815
Total RC		\$3,581,980
3% Reserves		\$ 107,459

Fiscal Management

All RC accounts are closely monitored via a budget and accounting system customized for the RC needs. There are a series of interrelated spreadsheets updated regularly to record detailed transactions and current and projected commitments. This detail is aggregated following different criteria (i.e., according to functional area, expense/income category, encumbrances, variability, etc.) to produce standard and ad-hoc reporting. Accurate and timely reporting ensures the fiscal health of the RC and supports the decision-making and planning processes.

Fund Balance Use

Our projected accrued fund balance will be used to provide additional funding to support the ERA project efforts as it develops new modules; increase the educational opportunities to the research community in terms of the ethical conduct in research; support special projects related to data base analysis as it pertains to conflict of interest in research, faculty/research profiles, and research compliance

Other Comments

FY 2001-02 shows under Other Revenue \$148,175. This includes a \$107,884 cash transfer from RUGS and a \$35,000 cash transfer from IRB fees income. These are not our "typical" income source such as GND application fees.

Reallocation Plan

For FY 2000-01 the reallocation funds of \$60,000 were used to support staff reclassifications in the Sponsored Program Administration and Industrial/Corporate Contracts areas. These staff were long due the recognition of more complex, varied

and broader responsibilities requiring more sophisticated and technical skills as well as higher levels of accountability. The funds also supported expenses related to the Graduate Student Orientation and Graduate Program Showcase. Finally, these funds allowed us to hire and keep graduate students and legal interns, primarily from the School of Law, whose invaluable contributions permitted us to maintain the workflow in the SPA, RCA, Industrial/Corporate and Graduate Office areas.

For FY 2001-02 the reallocation funds of \$26,358 were used to fund the ERA System Administrator, a PA ranked position created to support this University-wide enterprise system.

Reallocation funds of \$154,071 provided by the President's office in 2001-02 were used to support the creation of the following positions (fund compensation and related expenses):

ERA Systems Administrator	PA13	\$26,358
Ass. Director Research Compliance Administration	PA14	\$52,040
Legal Assistant - SPA	PA11	\$22,303
Administrative Secretary	CL05	\$29,673
Adjustment for Contract & Grant Administrator - SPA -	PA 13	\$11,489
S&E New Staff		\$12,208
Total Use		\$154,071

Other Question(s)