Mission

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

Goals and Objectives

1. 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: None
Time Frame: Four years

Actions taken for 2004-2005:

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.

2002-03

Development of the Electronic Research Administration (ERA) system has advanced to the point that we are now encouraging general adoption of the system. An enhancement of the budget development module in April of 2003 provided outputs that match NIH 394 and 2590 forms. As scheduled, a much more user friendly proposal routing form was released in July, 2003. Included in the new routing form is the added function to share credit for proposals among multiple individuals. In addition, calculations from the budget development module are transferable to the proposal routing form. The response of individuals using this module has been very positive. Another release for the ERA system
will be the last week of November, 2003. This release will simplify navigation between the proposal routing module and the budget development module.

After exploring several different collaborative efforts to jointly develop an ERA system for research on human subjects, it was determined we would be best served to build our own system. All of the screens for submission of protocols, continuing reviews, amendments, and reports of adverse events have been designed. A second year of funding of $250,000 was received from NIH to support the development of the ERA human subject module. The plan is to have a human subject ERA release ready by fall 2004.

Evidence of Progress for 2004-2005:

By last quarter of 2004

- 50% of the proposal routing forms should be submitted through the ERA system
- 25% of the proposal routing forms should be created on the ERA system
- The human subject module should be released for testing
- 100% of faculty should be using the financial disclosure ERA system by fall 2004

Activities planned for 2005-2006:

One focus during 2003-04 is to remove all the rate limiting factors such that the ERA proposal routing form can become the required means to submit proposal routing forms. An example is to simplify the steps required to authorize access to the ERA system. During 2003-04, we will announce the timetable for converting use of the paper routing form to the ERA routing form.

A second focus is to further refine the budget development module such that it will become the preferred method to develop budgets for agency. This includes providing the function of versioning, ability to generate modular budgets for NIH, and provide a copy over feature of non-personnel expense (this is important for budgets that have multiple tasks and multiple years)

The third focus is to develop the human subject module. This will allow researchers to submit protocols, continuing review reports, amendments, and adverse event reports.

In addition, we will begin providing reports from the ERA database through the IUIE reporting environment.

Finally, the first phase of an ERA system for obtaining information related to potential conflicts of interested will be developed.
Campus Planning Theme: Best Practices

Secondary Goals:
Sub Unit: None
Time Frame: Three years

Actions taken for 2004-2005:

2001-02

The following staffing changes were implemented to improve 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)

2002-2003

Due to the resignation of the former director of the Corporate Contract Office and concomitant substantial increase in pending contracts, the delays in completing contracts had become unacceptable. With additional resources provided on an interim basis by the School of Medicine (2/1/03-6/30/03) and then by the campus and VP for Research (7/1/03) the following staff changes have been implemented:

- Recruited W. Sid Johnson to be the head of the Corporate Contract Office - 2/1/03
- Added a Contract Administrator to work in the Corporate Contract Office – 2/1/03 (Mark Reichel)
- Added a Contract and Grant Administrator to work in the Sponsored Program Administration office 3/1/03 (Tanyon Lynch who subsequently was succeeded by Jacob Manaloor)

With additional funds allocated from the State’s Research Incentive funds the following changes were implemented after July 1, 2003.

- Added a Contract Administrator to work in the Corporate Contract Office – 8/1/03 (Erin Cragen)
- Created the new position of Associate Director of Sponsored Program Administration – a search is on-going to fill this position.
Evidence of Progress for 2004-2005:

Reducing the time for processing of proposals and grant awards. Reducing the time for new awards to be established.

Activities planned for 2005-2006:

Due to the continuing increase in the number of proposals being submitted, additional grant administrators (two) are urgently needed to handle the workload. Without the additional staff, it is quite possible that some proposals will not be submitted on-time.

We also plan to facilitate the submission of modular budgets of NIH proposals. With the goal of reducing the number of last submissions, we plan to encourage investigators to submit proposal budgets and routing forms in advance of the body of their proposals.

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

A. Strengthen the program on the protection humans participating in research activities
   
   **Campus Planning Theme**: Best Practices
   
   **Secondary Goals**:
   
   **Sub Unit**: None
   
   **Time Frame**: On-going

Actions taken for 2004-2005:

2001-02

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 the 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 Wininger was given the title of Senior Research Compliance Coordinator and we created the position of Human Subjects Research Auditor which was 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 became 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.

2002-2003

We have made considerable progress developing the Standard Operating and Procedures (SOPs) for research on human subjects. As of November 1, 2003, 16 of the SOPs have been drafts, and 15 of them have been reviewed by a coordinating task force. Four of the SOPs have been finalized and posted on the web and six more are close to being finalized for posting on the web. We anticipate the remaining 11 SOPs will be finalized by early fall, 2004.

We have compiled a number of resources to help IRB members better understand their responsibilities as an IRB member. The link for this educational site is http://www.iupui.edu/~resed/hrbedintro.htm. The site includes a compilation of relevant policies and procedures, and PowerPoint presentation on the specific responsibilities of IRB members.

We introduced and have subsequently revised a web-based system for reporting adverse events that occur during research studies.

We applied for and received a second grant for $250,000 from NIH to enhance the infrastructure for the protection human subjects in research studies. The funds will be used to complete the humans subjects module of the ERA system. They will also be used to create case studies to help familiarize new IRB members with the types of issues they will likely address during board meetings.

Evidence of Progress for 2004-2005:

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 2005-2006:

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...
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.

2003-2004

We will create a series of case studies to be used as part of the training program for IRB members.

With the additional funding received from NIH, we will hire 6 programmers to develop the human subject module of the ERA system. Our goal is to have a release of this new application by end of the calendar year 2004. All of the screens for the application have been designed and coding for the application should commence January of 2004.

We will complete the required self-study documentation and submit it to the Association for the Accreditation of Human Research Protection Programs. Once the material is reviewed, a site visiting team will come to both IUPUI and IUB. The review process will be completed during calendar year 2004.

We will update the web-based educational module on research on human subjects. We will also revise the associated test.

B. Continue coordination of the various research compliance programs

Campus Planning Theme: Best Practices
Secondary Goals:
Sub Unit: None
Time Frame: On-going

Actions taken for 2004-2005:

2001-2002

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

2002-2003

The compliance committee has begun to focus on compliance activities on the Regional Campuses.

Evidence of Progress for 2004-2005:

Reduced incidence of non-compliance.
Reduced incidence of non-compliance

Activities planned for 2005-2006:

2002-2003

Prioritize topics for responsible conduct of research education program.

2003-2004

Map the entities responsible of each of compliance areas for all of the Regional Campuses and Medical Centers.

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: None

Time Frame: One year

Actions taken for 2004-2005:

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.

2002-2003

Creation and implementation of policies and operating procedures to meet the Federal requirements of Health Insurance Portability and Accountability Act of 1996 (HIPAA) took over 700 staff hours. Due the complexity of how health care is delivered at IU, policies and procedures unique to the campus had to be developed followed by extensive educational programs for all research investigators and their staff.

Evidence of Progress for 2004-2005:

Receipt of revised research protocols.

Activities planned for 2005-2006:

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.

Strengthen the compliance programs for Biosafety
III. Strengthen the educational programs on responsible conduct of research

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

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Actions taken for 2004-2005:

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.

2002-2003

As mentioned in Goal 1 above, we developed the IRB Member Education instruction and Web site - [http://www.iupui.edu/~resed/irbedintro.htm](http://www.iupui.edu/~resed/irbedintro.htm)

We developed the first phase of the online educational modules for the Research Gateway on the following topics:

- [http://www.indiana.edu/~rschinfo/Educational/index.html#2](http://www.indiana.edu/~rschinfo/Educational/index.html#2)
- Resources for Responsible Conduct in Research
We organized a number of educational programs related to responsible conduct of research:

- **August 15, 2002**
  - IUPUI New Faculty Orientation Academic and Cultural Fair
  - Target audience: IUPUI new faculty

- **August 16, 2002**
  - IUPUI Research & Sponsored Programs New Faculty Orientation
  - Target audience: IUPUI new and returning faculty

- **Nov 19, 2002**
  - Indiana University Research Symposium Fall 2002
  - Target audience: All IU faculty and research administration staff

**Evidence of Progress for 2004-2005:**

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

**Activities planned for 2005-2006:**

**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.

**2003-2004**

We will create additional web-based modules on responsible conduct of research.

We will continue to publish the R&SP Communicator Electronic Newsletter at http://www.iupui.edu/~rspcommu/archives.htm.

We will continue to hold workshops on responsible conduct of research.

IV. 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:** None  
**Time Frame:** On-going

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**Actions taken for 2004-2005:**

**2001-2002**

Revised the campus policy on centers and institutes

**2002-2003**

Submitted a revised draft for a University policy on centers and institutes to the Academic Officers Committee

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**Evidence of Progress for 2004-2005:**

A listing of all active centers.

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**Activities planned for 2005-2006:**

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

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V. 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:** None  
**Time Frame:** On-going

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**Actions taken for 2004-2005:**

**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.

**2002-2003**

As part of the budget process, $180,000 of new funds was committed for graduate fellowships. These funds are not available to be expended until the end of the fiscal year.
Evidence of Progress for 2004-2005:

Increase numbers of graduate students receiving financial support

Activities planned for 2005-2006:

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: None

Time Frame: On-going

Actions taken for 2004-2005:

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 matriculates. Combined Open House & Graduate Student Showcase into Explore IUPUI.

2002-2003

To strengthen our pipeline for recruiting minority graduate students, Dr. Gwendolyn Johnson will commit 20% of her time working for the “Summer Research Opportunity Program” (SRoP) and the new center of Research and Learning.

We have agreed to partner with the IUB Graduate Office for recruiting visits to other schools. This should provide more exposure for the two graduate offices at reduced travel costs.

Evidence of Progress for 2004-2005:

Increase in number of minority students enrolled in IUPUI graduate programs

Increase total number of enrolled graduate students

Activities planned for 2005-2006:
Increase support for the Minority Visitation Day Participate in "Explore IUPUI", Fall, 2004. Continue new student orientation program, assigned to Assistant Dean Dr. Gwendolyn Johnson. Develop support system for graduate students (brown bag series) with OPD.

Prepare the IUPUI programs that award Ph.Ds. to be ready for the National Research Council Ratings of Doctoral Programs

- **Campus Planning Theme:** Teaching and Learning
- **Secondary Goals:**
- **Sub Unit:** None
- **Time Frame:** 2003-2004

**Actions taken for 2004-2005:**

This is a new objective

**Evidence of Progress for 2004-2005:**

To successfully report the IUPUI Ph.D. Programs to the NRC.

**Activities planned for 2005-2006:**

Finalize negotiations with the graduate offices of IUB and PU-WL to have those Ph.D. programs that are primarily based at IUPUI to report to the National Research Council (NRC) as IUPUI programs. When the NRC conducted their survey, all IUPUI graduate programs were reported as either IU or PU programs.

Our first step will be to align our programs with the published taxonomy for graduate programs. Our second step will be to apportion faculty effort the respective graduate programs. Finally, we need to assist programs in assembling the data that will be sought by the NRC.

- **VI. 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:** None
  - **Time Frame:** On-going

**Actions taken for 2004-2005:**

2001-2002

Improved training on SIS/electronic admission web center for programs
Negotiated for work-study students 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.

2002-2003

Graduate applications (Professional programs and Graduate School) may now be submitted via Apply Yourself. As of fall 2003, we are receiving approximately 70% of the applications via this web application process. All of these applications must be reviewed by Graduate Office staff. The remaining applications are manually processed by Graduate Office staff. Processing these applications is a new responsibility for the Graduate Office staff and this represents a significant overload in work.

Evidence of Progress for 2004-2005:

The timely processing of graduate applications.

Activities planned for 2005-2006:

Obtain resources to hire an additional staff person for the Graduate Office to handle the review of applications being entered into the PeopleSoft system.

A. Establish an office for postdoctoral researchers and postdoctoral fellows

Campus Planning Theme: Teaching and Learning
Secondary Goals:
Sub Unit: None
Time Frame: Create the office within one year.

Actions taken for 2004-2005:

Action on this objective has been delayed to await appointment of the new IU Graduate Dean.

Evidence of Progress for 2004-2005:

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

Activities planned for 2005-2006:
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

*** Fiscal health report for 2005-06 is attached as PDF file.***

Reallocation Plan

Other Question(s)

_Doubling goals._ In what ways has and will your responsibility center contribute to the Chancellor’s doubling goals for enrollment (retention and graduation rates and degree conferrals), research and scholarship (grants and contracts), and civic engagement (service learning, internships, community collaborations)?

_Diversity._ What actions have you taken and what results have you achieved in diversifying your student body (particularly in improving the success rates of minority students) and your faculty and staff?

_Campus coordination and cooperation._ Are you willing to work with an adjudicative group in resolving conflicts in course and program offerings in the spirit of reducing campus duplication and overlap? If so, what forum or format would be most helpful to you? Please cite examples of your cooperation with other units in resolving such conflicts.

4) What actions have you taken to promote the retention of all students, and in particular, individuals who would diversify the student body, e.g., ethnic, racial, and gender minorities?

5) What uses are you making of the student technology fee?