

# **PARKER UNIVERSITY RESEARCH INSTITUTE POLICIES AND PROCEDURES**

## **I. SUMMARY**

The mission of the Parker University Research Institute is to coordinate and facilitate the development and execution of a research agenda consistent with the overall mission of Parker University. That agenda would lead to the advancement of Parker University within the scientific/professional community and contribute sound scientific evidence that supports public health and the chiropractic profession, education, business and technology.

- a. Research activities conducted by Research Institute personnel will be supported and authorized by the Director of Research.
- b. Research activities initiated by Parker personnel outside the Research Institute (e.g. faculty, clinical staff and students), may be supported by the Institute and/or the academic center of the principal investigator or an external grant. The project and its budget must be approved by the supervisor of the principal investigator and the Director of Research. The Director of Research holds the final authority for the conduct of all research by Parker personnel except where the research involves only personal time of the researcher, where no Parker funding, facilities or other on-duty Parker personnel are involved and where the name of the University will not be used with any presentation or publication of the research.
- c. The Research Committee will ensure all policies and procedures which are developed and implemented by the Research Institute, have institutional oversight. The Director of Research and the Research Committee will ensure that policies and procedures will be adhered to in order to protect human subjects and animals, and ensure that high standards of scientific integrity are maintained.

## **II. ORGANIZATION OF THE RESEARCH EFFORT**

### **a. RESEARCH INSTITUTE FUNCTIONS AND RESPONSIBILITIES**

- i) Research Institute personnel will initiate and conduct research projects which may include but not limited to educational, basic science, clinical, business and technological research. The Director of Research, with the advice of the Research Committee, is responsible for and holds final authority in the administration, management, direction, and conduct of all research within the Institute and the University.

### **b. FACULTY, STAFF, AND STUDENT RESEARCH SUPPORT**

- i) Research Institute personnel will help faculty, staff, students and field doctors who wish to cooperate in Parker's research efforts. To this end, the Research Institute will provide staff to meet with, discuss, and guide the researcher through the task of developing and writing a formal research proposal. The Director of Research, must be made aware of and approve all research with the exceptions noted in I.b. above.

### **c. RESEARCH CULTURE & COMMUNICATION**

- i) In order to raise awareness of the importance of research and the research efforts at Parker, Research Institute personnel will disseminate information on a regular basis. This may include:

- (1) sponsoring visits of scientists for colloquia and/or consultations
- (2) providing reports of research in progress, presentations and publications.
- (3) providing detailed project summaries
- (4) maintaining research bulletin board with current research information
- (5) providing research related articles for internal publications
- (6) create brochures that reflect the research efforts of the University

**d. GENERAL UNIVERSITY SUPPORT FOR RESEARCH PROJECTS**

- i) Research resources may be made available, either adjunct to external funding, or as the sole means of support, to qualified research. These resources may include:
  - (1) release time for professional (faculty and clinic) personnel
  - (2) laboratory space and equipment
  - (3) clinical space and equipment
  - (4) library resources and services
  - (5) administrative and secretarial support
  - (6) clinical staff support
  - (7) supplies
  - (8) data processing resources
- ii) In the case of Parker funded research projects initiated by Parker faculty, staff or students, the extent and source of such funding will be determined by the respective V.P./Dean/Director of the Principal Investigator and the Director of Research.

**b. EXTERNAL SUPPORT FOR RESEARCH PROJECTS**

- i) The University encourages investigators to seek external funding for their research. Agreements and proposals related to external funding should be reviewed by the Provost, the Vice President of Business and the University's legal representative. Funds received by the University from external funding sources will be administered by the Research Institute, Provost and Vice President of Business according to standard protocols and bookkeeping methods.

**III. PREPARATORY (INFORMAL) PROCEDURE FOR PROPOSAL SUBMISSION**

**a. PRELIMINARY CONSIDERATIONS**

- i) Before any research idea is transformed into an actual proposal, several preparatory steps are necessary. These include reviewing the literature, determining costs in terms of time and resources, developing a proper study design and determining if the project fits the mission of the University. The Director of Research, research faculty and/or staff will provide informal discussions and assistance related to these issues.

**b. ELIGIBILITY FOR RESEARCH**

- i) Research at Parker is open to faculty, staff and students (students and non-professional staff must have a faculty sponsor or mentor). Faculty from the Research Institute will provide mentoring if other faculty are not available. Professionals in private practice who wish to pursue a research project to the benefit of the University may request support by applying to the Director of Research and/or finding a University faculty or staff collaborator to act as the sponsor or Principal Investigator, of the research.

**IV. FORMAL PROTOCOLS AND PROCEDURES**

**a. PRIMARY CONSIDERATIONS**

- i) Research at Parker University can take place only with the approval of the Director of Research by satisfying the requirements of a formal protocol as follows:
  - (1) The first steps consist of conferences between the researcher and the Director of Research or designated research faculty or personnel. This meeting is designed to determine the availability of personnel, funds, and facility resources for the proposed project.
  - (2) A formal research proposal should be submitted. The proposal must begin with a summary abstract, and continue to include the specific aims of the study, the hypotheses investigated (or research question), the research methodology and protocols, personnel and facilities to be utilized, special equipment (if any) and supplies required, a justified budget, background information, timeline and protocols to be followed, planned data analysis methods and expected and/or probable results, references, ethical considerations (when humans and/or animals are involved), and all anticipated forms to be utilized, including informed consent, any questionnaires or other instruments of assessment or evaluation.
  - (3) Research involving human or animal subjects that meet the required criteria for review will be forwarded to the appropriate committee for review and approval (IRB or IACUC). All studies involving human subjects require an IRB review at Parker University.
  - (4) When requests for grants require a representative of the institution sign the document this will be done by the Provost.
  - (5) The Director of Research along with the Research Coordinator and the Principle Investigator will be responsible for monitoring all research projects including those supported with external funds. Progress reports required by the external funding agencies should be sent to the Director of Research. The purpose of this review is to evaluate the conduct and progress of the project and to review and approve continued support of the project.

**V. RESEARCH COMMITTEE (RC)**

**a. PURPOSE**

- i) The purpose of the Research Committee is to ensure that all policies and procedures, which are developed and implemented by the Research Institute to further the mission of Parker with respect to research, have institutional oversight; to ensure that policies and procedures be instituted to protect human and animal subjects in any research and to ensure that high standards of scientific integrity are maintained in any research performed on University premises. Research proposals for small pilot or other projects may receive expedited approval from the Director of Research without full Research Committee review. The Committee will review research proposals forwarded by the Director of Research and make recommendations regarding scientific merit. The Committee will help provide advice and support when possible for research proposed by faculty, students and staff. The Director of Research will schedule meetings of the Research Committee as needed.

**b. COMPOSITION**

- i) The Research Committee shall be composed of the following members:
  - (1) Director of Research, chair;
  - (2) Three or more University personnel with research experience drawn from the various depts/schools of the University

## **VI. INSTITUTIONAL REVIEW BOARD FOR HUMAN RESEARCH SUBJECTS (IRB)**

### **a. LEGAL AND PROFESSIONAL BASIS**

- i) In order to comply legally with federal regulations relevant to the involvement of human subjects in research, on the one hand, and to fulfill its commitment to protecting such subjects regardless of the funding source and/or methodology employed, on the other, Parker University has established an institutional committee competent to review such research projects. Under the provisions of the Department of Health and Human Services, Regulations for Protection of Human subjects, this committee has been designated as the Institutional Review Board (IRB). The IRB functions under the supervision of the Provost. The guidelines for the IRB can be found in Appendix A.

## **VII. INSTITUTIONAL PROGRAM FOR ANIMAL CARE AND USE**

### **a. LEGAL AND PROFESSIONAL BASIS**

The Research Institute acknowledges and accepts responsibility for the care and use of animals involved in activities. As fulfillment of this responsibility, this Institution will make a reasonable effort to ensure that all individuals involved in the care and use of laboratory animals understand their individual and collective responsibilities for compliance with all applicable laws and regulations pertaining to animal care and use at the Research Institute. The guidelines for animal care and use can be found in Appendix B.

### **b. INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC)**

- i) This Institution has established an Institutional Animal Care and Use Committee (IACUC), to oversee the institution's animal program, facilities, and procedures. The IACUC consists of five members. The guidelines for IACUC can be found in Appendix C.

### **c. HEALTH AND SAFETY PROGRAM**

- (1) All persons involved in animal research, care, and handling (including animal fluids and unfixed tissues) as defined by this policy, shall participate in the University occupational health and safety program. Supervisors (department chairs, faculty and other Parker employees or affiliates who have oversight of University employees, students, or other individuals) are responsible for implementing this policy with individuals under their supervision. The guidelines for the Occupational Health and Safety Program can be found in Appendix D.

## **VIII. GRANTS AND PROJECT ADMINISTRATION AND SUPERVISION**

### **a. GRANT CONTROL AND APPROPRIATENESS**

- i) The Director of Research, with the advice of the Research Committee, will be responsible to insure that research grants will not interfere with the University's control over instruction or research. They, with support from the administration, will also insure that the research efforts of the University do not become dependent on the grant funds associated with indirect cost allowances for the normal operation of the research program. Grants for research should also be made for a specific period of time.

**b. NOTIFICATION OF RECEIPT OF FUNDS**

- i) Upon approval for funding, whether internal or external, the Principal Investigator must notify the Director of Research. The Director of Research will in turn notify the Provost, and the appropriate Center Directors.

**c. OVERHEAD/ACCOUNTING**

- i) All grants will be administered and distributed under the supervision of the Provost, according to standard protocols for research grant administration as set out by the US OMB. The Chief Financial Officer will set up an account and a ledger for the project. All project expenses will be routed through the research account, and will be subject to an administrative overhead fee structure (indirect costs) for which the standard will be determined by the Chief Financial Officer, Provost, and Director of Research to accommodate any restrictions imposed by the granting agency or other considerations. Requisitions and purchase orders will be signed by the Director of Research.

**d. PRINCIPAL INVESTIGATOR RESPONSIBILITIES**

- i) Supervision and Administration
  - (1) The Principal Investigator is responsible for overseeing the implementation and conduct of the research project, ensuring that all protocols detailed in the proposal are followed, recommending appropriate personnel (as detailed in the proposal), purchasing necessary supplies and equipment, and otherwise carrying out the project professionally and scientifically. The Principal Investigator is responsible for the budgetary and data collection and record-keeping, as evidenced by regular entries to a project log book, with sections detailing how procedures were followed, any accidents involving subjects, expenditures, equipment acquired, travel, etc.
- ii) Progress Reports and Continuation of Funding Applications
  - (1) The Principal Investigator will issue regular reports on the progress of the project to the Director of Research. This report will be made available to the Center VP/Dean/Director, where appropriate. The reports will include a budgetary statement, description of data collected and/or other appropriate scientific progress, a statement regarding problems or the lack thereof with any human/animal subjects, and a statement of continuing compliance with protocols. Acquisitions of equipment will be reported to the Business Office and recorded in the University inventory. Continuation of funding applications will be prepared by the Principal Investigator and reviewed by the Director of Research.
- iii) Contract research: In addition to the requirements for all research, contract research with private companies will be reviewed by the University's legal representative. The "Sponsored Research Agreement" provides a description of the terms upon which the Parker University will accept commercial funding and can be found in Appendix E.

**e. RESEARCH MISCONDUCT**

- i) All good faith allegations of research misconduct (fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results) will be investigated. These procedures can be found in Appendix F.