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A LEAN AND FLEXIBLE APPROACH TO STREAMLINING RESEARCH INTEGRITY

SRAI Annual Conference, Atlanta, GA

06 May 2026

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Office of Research Integrity

Ball State University

WE FLY.



Learning Objectives

- Understand how it is possible to rethink procedures to ease the effects of submitting, reviewing, approving, and post-monitoring of research protocols on associated researchers, reviewers, and administrators.
- Identify concurrent and sequential processes and imagine how increased efficiency can lead to faster turnaround.



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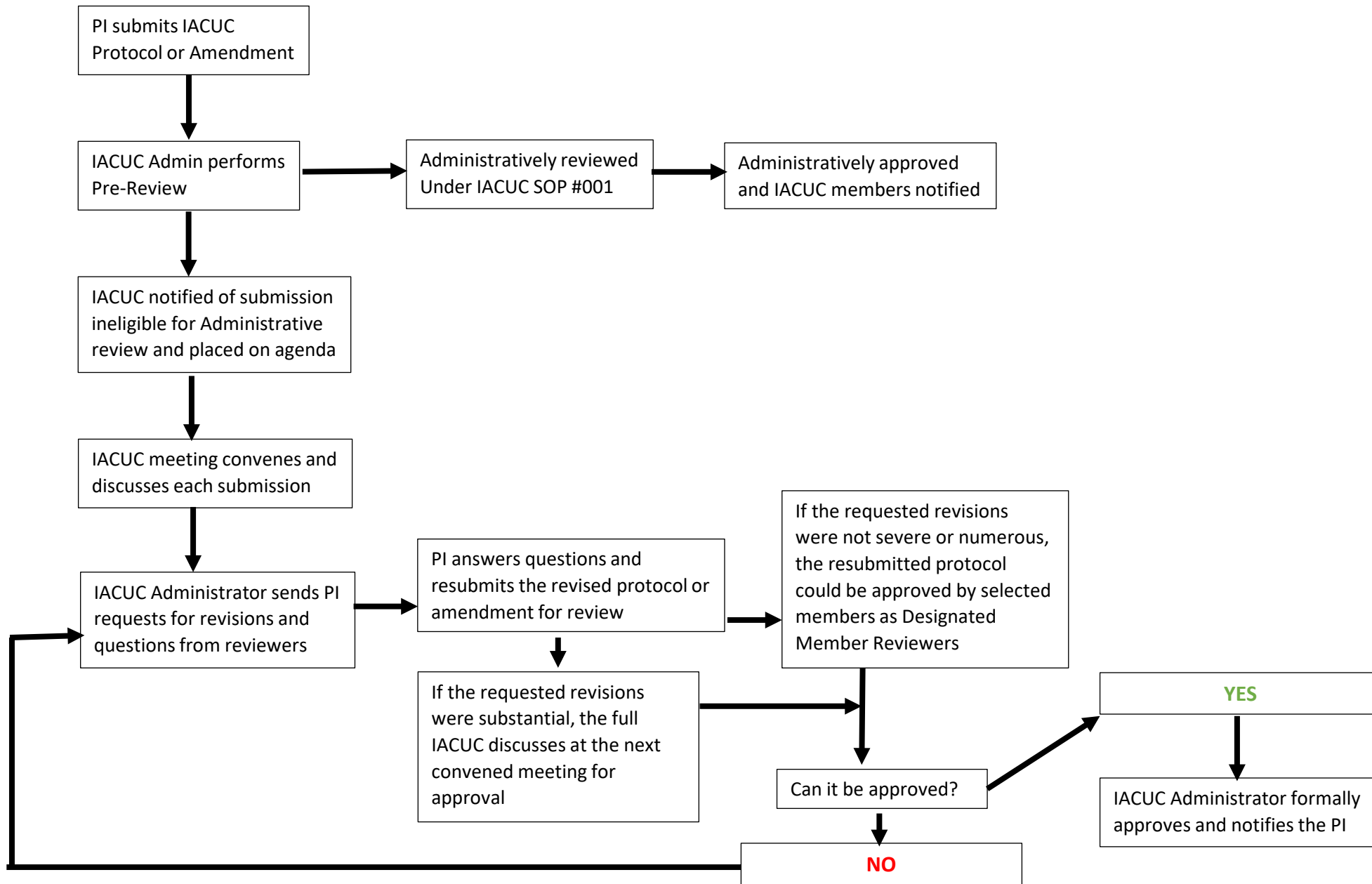
Typical Research Committee

Title	Submission ID	Submission Type	Submission Date	Assigned Review Type	Earliest Member Share Date	Last Review Completed Date	Date Assigned to Agenda	Agenda Date	Action	Effective Date	Project Status	Project Expiration Date	Next Report Due	Review Details Last Updated	Project ID
The role of glycogen in developm	3085743	Amendmen t/Modificat ion	10/17/2023	Administrative Review	11/1/2023	11/15/2023	11/1/2023	11/15/2023	Approved	11/3/2023	Active	11/11/2024	11/2/2023	11/16/2023	135559
Mechanisms and outcomes of i	3085883	Amendmen t/Modificat ion	10/18/2023	Administrative Review	11/1/2023	11/15/2023	11/1/2023	11/15/2023	Approved	11/1/2023	Active	5/20/2024	5/20/2025	11/15/2023	1220881
Disrupting two cancer hallmark	3091621	Amendmen t/Modificat ion	10/31/2023	Full Committee Review	11/8/2023	3/21/2024	11/6/2023	11/15/2023	Approved	3/22/2024	Active	4/17/2026	4/17/2024	3/22/2024	1510887
The role of glycogen in developm	3092220	Continuing Review/Pro gress Report	11/1/2023	Administrative Review	11/8/2023	11/15/2023	11/6/2023	11/15/2023	Approved	11/6/2023	Active	11/11/2024	11/2/2023	11/15/2023	135559
Bat Research in Illinois and Indi	3103198	Amendmen t/Modificat ion	11/29/2023	Administrative Review	12/12/2023	1/9/2024	12/12/2023	12/15/2023	Approved	12/12/2023	Active	4/26/2024	4/26/2022	12/12/2023	109929
Ecological and Evolutionary Effe	3114011	New Project	12/30/2023	Full Committee Review	1/18/2024	2/6/2024	1/18/2024	2/6/2024	Approved	2/6/2024	Active	2/6/2027	2/6/2025	2/7/2024	1142896
The role of glycogen in developm	3119311	Amendmen t/Modificat ion	1/15/2024	Administrative Review	1/18/2024	NULL	1/18/2024	2/6/2024	Approved	1/18/2024	Active	11/11/2024	11/2/2023	1/18/2024	135559
Immune Cell Mediated Neural R	3120940	Amendmen t/Modificat ion	1/18/2024	Administrative Review	NULL	NULL	2/5/2024	2/6/2024	Approved	2/4/2024	Active	4/11/2026	4/11/2024	2/5/2024	1650038
Establishing and Culturing Prima	3123789	Continuing Review/Pro gress Report	1/25/2024	Administrative Review	NULL	NULL	2/5/2024	2/6/2024	Approved	2/5/2024	Active	1/19/2026	1/19/2024	2/5/2024	1990284



Submitting Animal Research Protocols

- Word document or Fillable PDF?
- Download or link on website?
- Easy to locate?
 - Saved versions?
- Pre-submission questions from PIs
 - Do I?





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Applications and Competitions at Ball State

 infoReady™



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Principal Investigator Information

Principal Investigator Information

The Principal Investigator (PI) MUST be a Ball State University Faculty Member.

Introduction

The Institutional Animal Care and Use Committee (IACUC) at Ball State University reviews all projects using animals in research to ensure research is conducted in accordance with Ball State University policy and with applicable provisions of federal, state, and local laws and regulations.

New protocols and triennial de novo reviews are usually assigned to Full Committee Review, but can infrequently be assigned for Designated Member Review. Based on the nature of changes requested in an amendment, minor changes such as adding personnel, can be Administratively Reviewed and approved. The IACUC Administrator completes a pre-review and with the IACUC Chair, determines which initial review is necessary for your research proposal.

Your protocol (new application or amendment request) will be reviewed by the BSU Attending Veterinarian during the review process. The BSU Veterinarian is available to address any questions or concerns involving procedures that may cause discomfort, distress, or pain to the animals used.

PI First Name *

Jim

PI Last Name *

Klenner



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Application Type *

If this is a new or 3-year renewal application or Wildlife Research Application. If you are

- Laboratory Animal Application
- Amendment
- Wildlife Research Application
- Non-Research Animal Application
- Final Report/Project Closure

Principal Investigator Information

Application

Principal Investigator Information

Principal

Key Personnel

Key Pers

Animal Research Training

Animal R

Funding

Funding

Non-Research Animals

Wildlife /

Study Title *

Modifications *

Are there any other Modifications that are needed for your project?

No

Yes

Other Modifications *

Describe in detail any modifications needed for your protocol that are not covered above.



List all personnel, including yourself, who will have a role in the research project. *

The PI is ensuring that all personnel listed on this protocol will have access to the protocol, read it, agree to participate in said research activities as described, and will complete all necessary training requirements.

Personnel Name *

BSU Email address *

Role in Project *

Responsibilities *

Describe in detail what each person's role is and the tasks they will take part in.

Remove

Add new



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Principal Investigator Information

Key Personnel

Animal Research Training

Funding

Animal Research Proposal

Laboratory Safety and Security

Training Completion *

Have you and all key personnel completed the required and elective (protocol specific) online CITI training modules?


No Yes

CITI Training Completed

CITI Training Certificate(s)

Please upload a combined PDF of all key personnel training certificates. Alternatively, individual files may be added using the Add New function.

Drag and drop a file here or click the button below to select a file to upload.

 [Select File](#)

[Remove](#)

[Add new](#)



Principal Investigator Information

Key Personnel

Animal Research Training

Funding

Animal Research Proposal

Laboratory Safety and Security

Grant Co-PI and/or Collaborator *

Is there a Co-PI or collaborator listed on this grant?

No

Yes

Details of Co-PI and/or Collaborator on your Grant *

If more than one, click on Add New

Name of the Co-PI or Collaborator

Affiliated Institution or Organization

Address of Research Location(s)

Co-PI/Collaborator Roles

Describe what the roles of the person named and how their research related to yours.

Is a Co-PI/Collaborator a non-US citizen?

This Co-PI/Collaborator is not a US citizen.

n



Animal Research Proposal

Submission Type *

- New
- 3-Year Renewal (de novo review)

Instructions

Federal laws and Institutional policies require us to apply the principles of the 3Rs (replacement, reduction, and refinement) to animal research. Reduction is desirable in any procedure, however directly humane, which employs large numbers of animals. Reduction is of great importance and, of all modes of progress on the three Rs, it is the one most obviously, immediately, and universally advantageous in terms of efficiency.



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Number of Animal Species *

How many different animal species will you be using? Note: Strains of the same species are addressed later.

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species are addressed

Animal Species #1

Animal Species *

Number of Animals Required (Study Duration) *

Age(s) *

Specify in years, months, weeks, or days

Sex of Study Animals *

Select the most appropriate response

- Sex
- Male
- Female
- Both

Vendor/Source of Animals *

State the source of the animals, i.e., commercial vendor, bred at Ball State University, captured from the wild, and/or other source.



Signatures?

Are actual signatures required for compliance?

Occupational Health and Safety *

I, and all members of my research team, have completed all necessary health surveys, medical screenings and/or immunization that may be required under BSU's Occupational Health and Safety Program for working with animals. This includes any fittings and training needed for the use of special personal protective equipment (PPE).

- Checking this box indicates you certify that the information in this submission is accurate and current.



Receiving a Submission

- What are the procedures once a protocol is submitted?
- The Admin acknowledges receipt to the PI.
 - Note: Accept the protocol does not mean Approval of the protocol
- The Admin completes a prereview and can:
 - Administratively approve,
 - Request minor changes, or
 - Notify committee members reviews are requested.



Administrative Actions

Application Actions

Application

Accept or Return

Reviewers

Activity

Notes (0)

Edit

Progress Reports

Delete Application

Notification Preview

Subject:

Important Application Update



Hello Applicant Name,

The Application Title application you submitted to IACUC Laboratory Animal Research Application has been accepted by an Administrator and, if needed, will enter into a review process. You will receive another email in the near future announcing the final decision on your application.

Thank you for your submission!




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Routing Steps: IACUC Laboratory Animal Research Application

Routing Steps determined here will define where applications are sent for review. You can add and edit these after finalizing as well.

* Indicates required

- Routing Step(s) are not needed
- Disable Accept or Return Application. 

Committee Review 

First Request for Revisions 

Committee or DMR Review 

Administrative Review 

Second Committee or DMR Review 

Second Admin Review 

Final Approval 



Reviewer Instructions

Reviewer Instructions

You might want to include instructions for reviewers, but it is not required. If you enter instructions, reviewers will see them at the top of the review form.



You have been asked to review the this submission to the IACUC. You can check "I Approve" below if the application has no deficiencies or you have no questions. Please also type Approve in the Text Area prior to submitting.

If there are comments and/or questions check "I Do Not Approve and Requesting Revisions" and write your comments/questions in the Text Area.

Begin by either:

- Clicking the **PDF button** at the top of the page to download the full application packet.
- Or, clicking the **View Application Details** above to view the application directly on the screen.

Then enter the feedback below:

- If you do not finish and need to return to your review form later, click **Save as Draft**.
- When you are ready to finalize, click **Submit Review**.

[Reviewer Guide](#)

Application Files

- [14240 - Miller_CITICompletionCertificate_AnimalC](#)
- [14240 - Miller_CITICompletionCertificate_WildlifeE](#)
- [14240 - Betteridge_CITICompletionCertificate_Wilc](#)
- [14240 - MillerLabSpecializedTrainingLevels.pdf](#)
- [14240 - Miller, Kelly_BSU-birds.pdf](#)



Reviews

Second Committee or DMR Review

Skip routing step for this application. [?](#)

Reviewer	Status	Last Update	Response	Admin Actions	Review Request ?
----------	--------	-------------	----------	---------------	----------------------------------

First

Co

[Delete Reviewer](#) [Assign Reviewer](#)

Second Admin Review

Skip routing step for this application. [?](#)

Reviewer	Status	Last Update	Return for Revisions	Deadline for Revisions	Email Body	Admin Actions	Review Request ?
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[Delete Reviewer](#) [Assign Reviewer](#)

Final Approval

Skip routing step for this application. [?](#)

Reviewer	Status	Last Update	Response	Admin Actions
<input type="checkbox"/> Jim Klenner	Review Submitted	Wednesday, March 18, 2026 at 9:51 am	I Approve	Edit Review



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Continuing Reviews

Progress Reports: IACUC Laboratory Animal Research Application

Progress Report will be presented to awardees upon assignment. Build and configure your Progress Report below. Switch to the Preview tab to view your form with all of your configurations. For guidance on building and configuring your form, [view our help guide](#).

***Does this competition require progress reports?** Yes No

* Indicates required field

Year 1 Annual Report



Year 2 Annual Report



Triennial de novo Review





Continuing Reviews (Annual Reports)

Skip Triennial de novo Review for this Awardee

Triennial de novo Review

Due: 02/13/2029 ^

Assignment and Reminders

When you're ready, configure and schedule this progress report assignment email to be sent to the Awardee. After the assignment has been scheduled, you will be able to schedule progress report reminders at any time.

Progress Report Assignment ?

Send assignment on: **12/13/2028**



Progress Report Reminder(s) ?

Send Reminder On: **1 month before the deadline**



Send Reminder On: **2 weeks before the deadline**





Continuing Reviews Year 1 and 2

1.

As the PI, you are responsible for ensuring your research personnel remain continuously aware of any new medical developments when handling or simply being around animals. Have you posted and announced information about updating medical information to all personnel in the last 6 months?

No Yes

Affirmation

As the PI, by checking below, you are indicating that you certify the the information provided in this document is accurate and current.

I certify the information in this Annual Report is complete, up to date, and accurate

Medical Surveillance

This is best determined by either making an announcement in a lab meeting or emailing information to all personnel listed on an approved protocol. The following may be used as a template.

If any lab personnel has noticed new symptoms when handling or when near research animals, such as allergies, asthma-like symptoms, rashes, itching, redness, etc., they are to complete a new [Medical Questionnaire for Animal Handlers](#). This will confidentially connect you with BSU medical services for a private and free health evaluation. You do not need to notify your PI or other administrators to access the confidential medical assistance.



Triennial de novo Review

- The IACUC must review and approve the proposed use of animals described in the application or proposal prior to the conduct of any PHS-supported animal activity ([PHS Policy V.B.](#)). Approval is valid for a maximum of 3 years.
- Because the scientific enterprise is not static, the need for changes to animal protocols is anticipated and can occur at any time during the life of the protocol. Significant changes to previously approved animal activities require prior IACUC approval.

<https://grants.nih.gov/faqs#/guidance/faqs?anchor=50346>



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Triennial de novo Review

Third Year Renewal

Are you wanting to continue this research project beyond the 3 year approval?

No

Yes

Three year renewal

IACUC approvals are valid for three years. Your protocol is scheduled to end soon. If you wish your project to continue, view the short tutorial on resubmitting your project.

[Re-submission of a continuing project.](#)



Medical Surveillance Survey

- Previous procedure was for animal handlers to complete a fillable pdf survey form.
 - This was delivered to the animal facility manager
 - Then given to EHS who carries/emails scanned copy to the designated medical provider for Ball State
 - The designated medical provider evaluates and signs off or requests secondary visit
 - EHS keeps records
- Medical records and HIPAA concerns



Medical Surveillance Survey

Medical Questionnaire for Animal Handlers

🕒 This is launched.

Dates

Details

Description

Medical Questionnaire for Animal Handlers

Once you Click the link in your email, you will need to hit Apply on the page. If you are not already signed in, you will be asked to log in with your BSU credentials.

Please provide the following information. Should you have any questions regarding this form contact Jim Klenner jwklenner@bsu.edu



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Occupational Health Training for Animal Handlers

Community 2023

Community: Animal Care and Use in Research Training

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Quizzes 

Collaborations 

 Assign To

 Edit







Security and Privacy Concerns for Animal Handlers

- Both the Medical Surveillance Form and the Occupational Health Training are closed to the public
- New students and technicians entered on an IACUC protocol are sent email invitations to complete each
- Results are not shared and a researcher is made aware when approval is granted for a protocol.

The positive side of this is a greater level of compliance with OLAW regulations!



Additional Uses of InfoReady

IBC Protocol Submission Form

The Institutional Biosafety Committee (IBC) was created under National Institutes of Health guidelines to review research involving recombinant DNA and synthetic nucleic acid research. The IBC also completes a risk assessment for submitted protocols and determines the necessary controls for the research. This also includes all research involving other biohazardous materials (e.g., human blood, pathogens, toxins, etc.). The Office of Research Integrity has administrative responsibility for oversight of the use of biological materials on campus. Approvals are valid for three years and continuation of the project would require a new submission for review after that time.

In the context of the *NIH Guidelines*, recombinant and synthetic nucleic acids are defined as:

- (i) molecules that a) are constructed by joining nucleic acid molecules and b) that can replicate in a living cell, i.e., recombinant nucleic acids;
- (ii) nucleic acid molecules that are chemically or by other means synthesized or amplified, including those that are chemically or otherwise modified but can base pair with naturally occurring nucleic acid molecules, i.e., synthetic nucleic acids, or
- (iii) molecules that result from the replication of those described in (i) or (ii) above.

Office of Research Integrity
Institutional Biosafety Committee (IBC)
2000 University Avenue
Muncie, IN 47306-0155
Phone: 765-285-5106
<http://cms.bsu.edu/about/administrativeoffices/researchintegrity>



Additional Uses of InfoReady

- Material Shipment/Export Control Form

Description

Prior to the shipment of chemical, biological, BSU intellectual property or other materials out of Ball State for any purpose, a disclosure is required. Additional steps are required in some instances, such as if the research material is hazardous, proprietary, BSU intellectual property, or is to be shipped anywhere outside the US.

Please complete this form at least 5 business days prior to shipping domestically or 10 business days for international shipments, to avoid delays and potential damage to the materials. For assistance with this form, please contact Jim Klenner at jwklenner@bsu.edu or 765-285-5106.



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Additional Uses of InfoReady

Human Subjects Research Determination Form

Overview



Description

Office of Research Integrity
 Institutional Review Board (IRB)
 2000 University Avenue
 Muncie, IN 47306-0155
 Phone: 765-285-5052
<https://www.bsu.edu/about/administrativeoffices/research-integrity>



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****IMPORTANT:** This Human Subjects Research (HSR) Determination Form **does not constitute IRB review and approval.****

Please complete this form if you are unsure whether your project is considered [human subjects research \(HSR\)](#) and requires IRB review. Once submitted, the IRB will review and notify you of their decision on whether or not IRB review is required. If the IRB administrator or reviewer decides that your project is HSR, you must submit a full IRB application on Cayuse Human Ethics (HE) before starting your project.

If you have any questions, please contact our office at orihelp@bsu.edu.



Additional Uses of InfoReady

BSU & State of IN COI/COG Disclosure

Description

PURPOSE for Col/CoC disclosures to Ball State:

Ball State University (BSU) is committed to providing quality teaching, research, and service. Often, this mission is served by the active participation of its employees in activities outside the University. University employees are encouraged to share their professional knowledge and expertise through outside activities that do not interfere with their University responsibilities.

While such interaction is encouraged, an employee's professional or other activities outside the University may result in a real or perceived conflict of interest or conflict of commitment. It is therefore necessary to assess and to eliminate or manage conflicts of interest and conflicts of commitment, so that the integrity and the interests of the University, as well as those of its employees, are protected.

INSTRUCTIONS TO EMPLOYEES:

For your convenience, click on your name in the top right corner to complete several items that may autofill in this form. It is also the location where one may review all previously submitted forms.

Please review the Ball State University, SFI (significant financial interest for federally funded researchers), and IN State Conflicts of Interest policies available on the Office of Research Integrity BSU Website at: [Office of Research Integrity – Compliance – Conflict of Interest](#).

Complete this form by answering the questions to the best of your ability. A "Yes" answer to any of the questions may prompt you to submit additional information.



Final Thoughts

- At BSU, we have increased compliance and decreased turnaround times after utilizing the InfoReady platform
- The transition went smoothly without needing a sustained buy-in from faculty and researchers
- Most comments describe how intuitive the new procedures are and very happy *regulatory creep* wasn't involved



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Thank You



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Questions?



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