BOLDNESS BY DESIGN

Advocating for Quality Research with Integrity

From land-grant to world-grant

Research and Creative Endeavor at MSU: Steps to Success

September 27, 2007
OVPRGS Senior Staff

- Ian Gray – Vice President for Research and Graduate Studies
- Paul Hunt – Associate Vice President for Research and Graduate Studies
- Cordell Overby – Senior Assistant Vice President for Research and Graduate Studies
- Tony Wojcik – Assistant Vice President for Research and Graduate Studies
- Karen Klomparens – Dean of the Graduate School
- Jim Pivarnik – University Intellectual Integrity Officer
- Loraine Hudson – Director of the Office of Research Facilitation
- Terry May – Acting Faculty Conflict of Interest Information Officer
Mission of OVPRGS

- Create the institutional vision for research
- Advocate for research and creative activities both within MSU and beyond
- Increase the quality and quantity of research and creative endeavors at MSU
- Steward the integrity of the research process in all its diverse dimensions
- Advance the Boldness by Design imperative
Functions of OVPRGS

- Advocate for research within central administration
- Work with deans and provost to encourage faculty participation in research and other scholarly endeavors/activities
- Administer internal research programs
- Ensure compliance and operational efficiency
- Identify and respond to external funding opportunities
- Foster interdisciplinary research by working closely with deans and provost
- Promote and develop technology transfer, commercialization, and applications of intellectual property
- Meet the needs of MSU constituencies
- Enhance core research facilities
Boldness by Design
Strategic Imperatives

- Enhance the student experience
- Enrich community, economic, and family life
- Expand international reach
- Increase research opportunities
- Strengthen stewardship
Research is the basis for education and outreach.

Furthering research—advancing knowledge—is what will take MSU to international prominence.

As we move research to world-class status, our education and outreach missions will follow.
Promotion of Research at Michigan State University

- Dynamic research programs to address problems of today and tomorrow—a forward-thinking research agenda
- Enhanced research scholarship (and competitive federal funding) across the university
  - Clearly articulated expectations of faculty
  - Annual evaluations of performance
- Enhanced national and international research reputation
- Research and scholarly activity closely linked to graduate and undergraduate education
- A strong contribution to the state’s economic recovery—linked to the University Research Corridor
Mentoring/Development of Faculty

- Clearly stated expectations of faculty performance
- Thorough annual evaluation of performance
- Role of OVPRGS in the P&T process
- Strong mentoring programs
  - Internal to the department
  - External to the department
    - Research integrity—UIIO, educational programs (RCR, graduate programs)
    - Faculty conflict of interest
How can we help our faculty be successful?

- Work with us, deans, associate deans, chairpersons—ASK!
- Office of Research Facilitation
- Internal funding programs
  - Internal Research Grants Program
  - MSU Foundation funding
  - Research Excellence Funds
  - Michigan Agricultural Experiment Station
  - Special multidisciplinary (cross-university) themes
- Faculty protection
  - Knowledge of rules and regulations/compliance
- Core research facilities
Mission: The Michigan Agricultural Experiment Station generates knowledge through strategic research to enhance agriculture, natural resources and families and communities in Michigan.

Target areas for the MAES research agenda:
- Food and Health
- Environmental Stewardship and Natural Resources Policy and Management
- Enhancing Profitability in Agriculture and Natural Resources
- Secure Food and Fiber System
- Families and Community Vitality
“Making It Work” – How Units Proceed

► Systematic plans & advocacy:
  ▲ Recruitment of people
  ▲ Space needs
  ▲ Funding needs

► Ad hoc planning and advocacy has several triggers:
  ▲ Grant matches
  ▲ Target of Opportunity hires
  ▲ Retention efforts
  ▲ Development Fund-raising
Your Own Planning & Self-Advocacy

- Systematic plans & advocacy:
  - Recruitment of your people
  - Space needs
  - Funding needs
  - Visibility needs

- Ad hoc planning and self-advocacy has several event triggers:
  - Grant matching requirements
  - Donation offers, incl. equipment
  - Travel to Washington & Foundations
  - Travel to conferences & collaborations
Process: Your mileage may vary

- Different colleges utilize different protocols – ask now!
- Protocols involve five key elements:
  - Timing
  - Respect for the administrative line
  - Linkage to accepted priorities (such as those of Boldness by Design)
  - How much can you put in?
  - Careful distinctions between recurring and non-recurring needs and sources
- Associate Deans for Research are usually a great resource.
Common Sense Planning & Self-Advocacy

- Everything gets read. Thus, different documents should be consistent when seen side-by-side:
  - “Best available information”
  - Realistic outcome projections
  - External bench-marking with peers
  - Community benefits, beyond individuals
  - Opportunity costs & leverage

- It is not credible for a project, resource, or student to be a world-beater in one document and horribly lacking in another, simultaneously.
Issue Escalation

► When in doubt, ask.
► Failure to escalate some issues can be a “crash landing”.
  ► Health and safety concerns
  ► Criminality
  ► Research or fiscal misconduct
  ► Regulatory compliance
► OVPRGS staff can help.
► New faculty frequently overlook resources: department, college, OVPRGS, Provost, and OGC.
Over-delegation is a danger

► You cannot make a judgment on the possible need for intervention or escalation if you don’t see the issue in the first place. Examples:
  ► Proposals and grant transmittals
  ► Peer reviews
  ► Purchasing and safety matters
  ► Fiscal and grievance matters

► Consider delegations carefully!
Research Integrity

Terry May

**Responsible Conduct of Research** – “conducting research in ways that fulfill the professional responsibilities of researchers, as defined by their professional organizations, the institutions for which they work and, when relevant, the government and public.”

**Research Integrity** – “the quality of possessing and steadfastly adhering to high moral principles and professional standards, as outlined by professional organizations, research institutions and, when relevant, the government and public.”

**Research Ethics** – “the critical study of the moral problems associated with or that arise in the course of pursuing research.”
Mentoring of Students in Independent Research & Scholarship

Graduate Education – Privilege; NOT a Right
✓ Academic Requirements are Program Specific
  • http://grad.msu.edu/staff/ght.htm

Leadership By Example

Graduate Handbook Template:
✓ Intent: Integrity in research and creative activities is based on sound disciplinary practices as well as on a commitment to basic values such as fairness, equity, honesty and respect. Students learn to value professional integrity and high standards of ethical behavior through interaction with members of their academic unit and their faculty advisor and by emulating exemplary behavior. This section of the handbook should state the program’s expectations for the responsible conduct of research and creative activities of graduate students (GSRR 2.4.7) and should present explicit criteria for dismissal for reasons other than academic deficiencies, including research misconduct, dishonesty with respect to grades or academic records and scholarship, and violations of professional standards.
Educational / Learning Continuum for Successful & Rewarding Lives

Course Work

Independent Research & Scholarship

Must assume responsibility for one’s actions AND All stages are equally important!

Intellectual Growth & Development

Bachelors            Doctoral          

[Diagram showing a continuum with Course Work decreasing and Independent Research & Scholarship increasing, indicating that all stages are equally important and one must assume responsibility for one’s actions.]
Tuesday, September 11, 2007
Kellogg Center ● Big Ten C
8:00 – 8:00 PM

This session will highlight issues related to:
- The Key Principles of Integrity
- Institutional Policies, Guidelines & Disciplinary
- Options for Promoting Integrity in Research
- Graduate Student Rights, Responsibilities &
  Obligations
- Important Indicators of Integrity
- Ready Sources of Information for Daily Support
- Reasons for Acting with Integrity in your Career

Tuesday, October 2, 2007
Kellogg Center ● Lincoln Room
6:00 – 8:30 PM

Dr. Len Fleck will set the stage for future workshops by summarizing ways of thinking about ethical and moral dilemmas. He will highlight the ethical dimensions of such things as academic freedom in relation to academic responsibility; duty; respect for different perspectives in moral judgments; the importance of achieving consensus for professional moral standards; and others.

Tuesday, October 30, 2007
Kellogg Center ● Lincoln Room
6:00 – 8:00 PM

This session will highlight issues related to:
- Student & Faculty Expectations/Responsibilities
- Roles & Responsibilities of Students & Advisors
- Ways to Minimize and Resolve Conflicts
  Through “Interest-Based Negotiation Skills” - a
  way of thinking about complex issues that
  encourages openness and aims for mutual
  understanding and development of creative
  solutions
- Ownership and Control of Research / Scholarships
- Mentoring in a Healthy Relationship

Wednesday, January 16, 2008
Kellogg Center ● Lincoln Room
8:00 – 8:00 PM

This session will highlight issues related to:
- University and Other Guidelines for Authorship,
  Data Retention, Data Rights, and Sharing of Data
- Plagiarism and Properly Creating the work of Others.
- Options and Obligations when Others are
  Believed to Not be Fair & Honest
- Why does Honesty & Fairness Matter?

Tuesday, February 5 and/or
Thursday, February 7, 2008
Kellogg Center ● Lincoln Room
6:00 – 8:30 PM

These sessions will highlight the means for protecting the subjects of research as well as the moral perspectives for accomplishing this. Everyone is invited to both sessions, but individuals need only attend one according to their personal interests to receive the certificate of completion. The historical context for current policies, practices, and regulatory requirements will be discussed as well as when and how to obtain institutional approval for the conduct of such research.

Thursday, February 28, 2008
Kellogg Center ● Lincoln Room
6:00 – 8:00 PM

This session will highlight issues related to:
- The Meaning of Objectivity
- Professional Responsibilities for Conduct of
  Research Sponsored by Industry or Special
  Interest Groups
- Recognizing & Managing Conflict of Interest
  Situations
- The role of Peer Review in Maintaining the
  Integrity of Research Findings

http://grad.msu.edu/all/respconduct.htm
Hans Kende Memorial Lecture Series on Integrity and Mentoring in Research

October 24

✓ Dr. Paul Friedman, Professor Emeritus of Radiology, University of California, San Diego
  ♦ An Introduction to Integrity in Research

March 18

✓ Dr. Brian Martinson, Senior Research Investigator, Health Partners Research Foundation, Minneapolis
  ♦ Scientist’s Misbehaviors and their Relationship with Mentoring
Misconduct in Research & Creative Activities

Federal - December 6, 2000 (FR 65, No. 235, 76260-76264 pp.)
✓ Research misconduct is defined as fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.
  • Fabrication is making up data or results and recording or reporting them.
  • Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
  • Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit. Research misconduct does not include honest error or differences of opinion.

MSU – Approved April 11, 1997 & revised on June 28, 2002
✓ "Misconduct" means fabrication, falsification, plagiarism, or any other practice by a Respondent that seriously deviates from practices commonly accepted in the discipline or in the academic and research communities generally for proposing, conducting, or reporting Research and Creative Activities. Serious or continuing non-compliance with government regulations pertaining to Research may constitute Misconduct. Retaliation also constitutes Misconduct. Misconduct does not include honest error or honest differences in the interpretation or judgment of data.
Research Integrity Officers

University Intellectual Integrity Officer

✓ James Pivarnik
  - Research Integrity Officer
  - Professor of Kinesiology & Epidemiology
    - http://www.uiio.msu.edu/

Faculty Conflict of Interest Information Officer

✓ Terry A. May
  - Interim FCOIIIO
  - Jointly appointed in the OVPRGS & TGS
    - "... a conflict of interest exists when a faculty member’s financial interests or other opportunities for tangible personal benefit may compromise, or reasonably appear to compromise, the independence of judgment with which the faculty member performs his/her responsibilities at the University."
This edition of the MSU Research Integrity Newsletter reprints the entirety of the Report of the Task Force on Research Mentoring. Chaired by Dr. Hans Kende, MSU Distinguished Faculty member and member of the National Academy of Sciences, the Task Force of seven faculty, including two members of University Graduate Council, and a graduate student deliberated for eight months on the important topic of the roles and responsibilities regarding research mentoring. The Charge to the Task Force from Vice President for Research and Graduate Studies, Robert Huggett and me is also included in this Newsletter, as are a follow-up interview with Dr. Kende and a short bio for the faculty and student participants.

University Graduate Council members voted to endorse the report on February 2, 2004 and approved an additional four recommendations for consideration by Faculty Council. UGC Chairperson, Eric Crawford, presented the package to Faculty Council on March 30, 2004 where it was approved.

Implementation by the Graduate School includes the printing of this document for wide distribution among faculty and graduate students, a web version of the entire document (http://grad.msu.edu/staff/mentoring.htm), and inclusion of the Report’s recommendations and guidelines as part of Graduate Handbooks in each graduate program. We are working with Graduate Assistant/Associate Deans and Graduate Program Directors to accomplish this by Fall 2005.

Karen L. Kompareas
GUIDELINES FOR GRADUATE STUDENT ADVISING & MENTORING

-The Academic Unit
  ✓ Prepare & maintain a Graduate Handbook
  ✓ Create opportunities for scholarship within the field

-The Unit Chair or Director
  ✓ Know MSU’s rules, policies & regulations AND distribute the Graduate Handbook to students
  ✓ Provide advice until the Advisor is selected
  ✓ Monitor student progress

-The Faculty Advisor
  ✓ Advise students on developing a program plan

-The Guidance Committee
  ✓ Provide annual written feedback
  ✓ Administer exams in a fair & equitable manner

-The Graduate Student
  ✓ Learn & adhere to Academic Unit’s & MSU’s rules, policies & regulations
  ✓ Form a guidance committee in a timely manner
  ✓ Keep the faculty advisor and guidance committee apprised on a regular basis
GUIDELINES FOR INTEGRITY IN RESEARCH AND CREATIVE ACTIVITIES

KEY PRINCIPLES - Integrity in research and creative activities embodies a range of practices that includes:

- Honesty in proposing, performing, and reporting research
- Recognition of prior work
- Confidentiality in peer review
- Disclosure of potential conflicts of interest
- Compliance with institutional and sponsor requirements
- Protection of human subjects and humane care of animals in the conduct of research
- Collegiality in scholarly interactions and sharing of resources
- Adherence to fair and open relationships between senior scholars and their coworkers
RESEARCH INTEGRITY

INTRODUCTION

The information in this newsletter is for MSU administrators, faculty, researchers, students and others who are concerned or interested in knowing more about plagiarism. It has plagiarism-related information relevant to research labs and classrooms, graduate and undergraduate education, faculty and students, MSU and national policies.

It is intended to offer perspectives from a variety of individuals in the MSU community on plagiarism and related academic integrity issues and to provide examples of best practices and insights, as well as resources for addressing plagiarism.

In order to achieve the intellectual stature and respect that we desire for the community of scholars at MSU as a whole, we must work cooperatively to build not only disciplinary excellence but also a reputation for integrity and respect for others. The articles here are presented with our thanks to the contributors and their assistance in striving toward the goal of unquestioned respect for and trust in MSU’s contributions to society. We intend this newsletter to be a resource to prevent plagiarism by addressing it openly and encouraging all members of the university community to do the same.

Karen L. Klemperer

http://grad.msu.edu/integrity.htm
Plagiarism

As a lab technician at the University of Vermont in Burlington, Walter DeNino had a gut feeling that something was amiss when his boss repeated a statistical analysis that DeNino had done and arrived at a different conclusion. DeNino followed his hunch and spent his evenings reconstructing the data set from patient medical records. He found that thinking about scientific misconduct before tangling with a real case will help their actions. Misconduct by a supervisor puts the junior scientist in a very vulnerable position. But with the proper tools and advice, a graduate student, postdoc or junior faculty member should be able to make an allegation without risking her or his career.

Corrupt or just sloppy?
Office of Regulatory Affairs (ORA)

Office of the Vice President for Research & Graduate Studies
ORA Charge

- Provide Research Subjects with Best Protection Possible
- Support Faculty in Conducting Research
  - Sponsored
  - Non-sponsored
- Maintain Compliance with
  - Regulatory Requirements
  - Adhering to Industry Standards
ORA Contact People

• **General Research-Related Compliance Questions?**
  Cordell Overby, Sc.D., Sr. Asst VP for Regulatory Affairs
  Tel: 432-4500 / Email: overby@msu.edu

• **Using Animals in Your Research?**
  Robert Werner, D.V.M., Attending Veterinarian and Director of Campus Animal Resources
  Tel: 353-5064 / Email: rwerner@msu.edu

• **Possible Environmental &/or Safety Impacts?**
  Kevin Eisenbeis, J.D., Director of Environmental Health & Safety
  Tel: 432-5275 / Email: eisenb14@msu.edu
ORA Contact People, cont.

- **Possible Export Sensitive or Embargo Controlled Technologies or Substances?**
  Ron Russell, J.D., Director of Export Controls & Trade Sanctions
  Tel: 432-4500 / Email: export@msu.edu

- **Human Subject Participation in Your Protocol?**
  Peter Vasilenko, Ph.D., Director of Human Research Protection Program
  Tel: 355-2180 / Email: irbchair@msu.edu

- **How Do I Get Started?**
  Kristen Burt, Educational Program Coordinator
  Tel: 432-4500 / Email: burtkris@msu.edu
Important ORA Websites

• General Research-Related Compliance
  – www.regaffairs.msu.edu
• Animal Care & Use
  – www.animalresearch.msu.edu
• Environmental Health & Safety
  – www.orcbs.msu.edu
• Export Controls & Trade Sanctions
  – www.exportcontrols.msu.edu
• Human Research Protection Program
  – www.humanresearch.msu.edu
• Education Programs
  – www.regaffairs.msu.edu
Online Research-Related Training Information (85 areas)
Regulatory Affairs Website
http://www.regaffairs.msu.edu

The Office of Regulatory Affairs (ORA) goal is to promote the responsible conduct of research at MSU, to assure compliance with federal, state, and university regulations and policies on research and to serve as a campus resource for research ethics education materials and training.

Office of Regulatory Affairs (ORA)
Michigan State University
204 Olds Hall
East Lansing, MI 48823-1313
(517) 432-4500 (office)
(517) 353-2976 (fax)
overby@msu.edu
MSU Libraries: resources that support research

Steven Sowards, Asst. Dir. for Collections
Library collections

- The online catalog identifies media, print and digital materials:
  - http://magic.msu.edu/
- The Electronic Resource pages are limited to online materials:
  - http://er.lib.msu.edu/
Search Indexes to Articles
Search by Location
Search Only for Periodicals
Search Only for Electronic Materials
Search for Material on Reserve:
  • By Course
  • By Instructor
View Your Library Account
Search Other Library Catalogs

Try the NEW catalog keyword search option!
Find Electronic Journals

Find e-journals by title or ISSN

Title begins with

Search

Commonly Used E-Resources

- (about) Academic OneFile
- (about) GPO Access
- (about) JSTOR
- (about) LexisNexis Academic
- (about) netLibrary
- (about) Opposing Viewpoints Resource Center
- (about) Periodicals Index Online
- (about) Project Muse
- (about) ProQuest
- (about) STAT!REF: The Electronic Medical Library
- (about) Thomson Gale PowerSearch
- (about) Web of Science
- (about) WilsonSelectPlus
- (about) WorldCat (OCLC)

Research Help

Find Other E-Resources including Indexes

Find Other E-Resources

Browse Other E-Resources by subject

Please select a subject

GO

License Restrictions
Subject librarians

- Librarians assigned as liaison to discipline-specific campus units
- [http://www2.lib.msu.edu/contact/subjectlibrarian.jsp](http://www2.lib.msu.edu/contact/subjectlibrarian.jsp)
- Their roles include selection of new materials, advice about existing collections, and expertise in use of relevant library databases
Subject Librarians

The tables below list the name, office telephone number (432.6123) extensions, and e-mail address of the librarian who specializes in the subject. Subject Specialists offer research advice to individuals or University classes, and consider requests for new materials. The subject terms are linked to the corresponding electronic resources pages. Librarians for Multidisciplinary Collections are listed at the bottom of the page.

For general questions about the collection, contact Steven Sowards, Assistant Director for Collections at 432-6123 x126.

Collection Development Policy Statements

Find a Librarian by Subject:

Please Select a Subject: African Studies

<table>
<thead>
<tr>
<th>African Studies</th>
<th>Joe Lauer</th>
<th>x237</th>
<th><a href="mailto:lauer@msu.edu">lauer@msu.edu</a></th>
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<td>African Studies</td>
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<td><a href="mailto:limb@msu.edu">limb@msu.edu</a></td>
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<td>Sheila Bryant</td>
<td>x207</td>
<td><a href="mailto:bryants@msu.edu">bryants@msu.edu</a></td>
</tr>
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</table>
Additional services

- Interlibrary loan of books, articles: http://www2.lib.msu.edu/howto/get-materials.jsp
- Research guides on topics such as use of EndNote, grant-seeking, and keeping up with the literature: http://www2.lib.msu.edu/general/faculty-guides.jsp
- Ask your subject librarian ...
Engaged Research at the MSU Museum
MSU Museum Facilities

MSU Museum Main Bldg, Campus

- Cultural Collections Resource Center
  Central Service Bldg
- Cultural Collections Resource Center
  Annex
  Spartan Stadium
- Planned MSU Museum Place
  East Lansing
- Planned MSU Museum
  Lansing Satellite
- MSU & Agriculture History Exhibition Center
  MSU Pavilion
- Vertebrate Nat'l History Collections Center
  Main Bldg, Campus
- MSU Consortium for Archaeological Research
  McDonel Hall
- Cultural Collections Resource Center
  Annex
  Spartan Stadium
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  MSU Pavilion
- Vertebrate Nat'l History Collections Center
  Main Bldg, Campus
- MSU Consortium for Archaeological Research
  McDonel Hall
Michigan State University Museum is committed to understanding, interpreting, and respecting natural and cultural diversity. As Michigan's land-grant university museum, this commitment to society is met through education, exhibitions, research, and the building and stewardship of collections that focus on Michigan and its relationship to the Great Lakes, and the world beyond.
Enhanced Student Experiences

• **Object/specimen learning and research opportunities**
• Museum collections provide a context for disciplinary and interdisciplinary studies
• Museum-based participatory and mentored learning experiences **incorporating collections**
• Providing unique, hands-on mentored experiences in documentation, collection management, exhibition and educational activities
• Broadening scientific and cultural horizons

A Student Oriented University Museum
Enrich Community, Economic and Family Life

- Family and youth learning experiences programs
- Lifelong learning
- Extending the reach of exhibitions beyond the campus including traveling exhibits
- Facilitating civic engagement in learning and research
- Facilitating creative research collaborations and partnerships
- Creating unique opportunities for multi-aged learning
- Serving as an agent for community development
Expand International Reach

- **International research/fieldwork**
- Creative linkages with international partners providing **global access to collections** through innovative electronic technology
- **Developing and using collections** representing diverse cultures
- Internationalizing Museum Studies Program offerings
- Expanding museum content-based Study Abroad programs

A Global University Museum
MSU Museum Research Opportunities

- Obtaining research grants
- Cultural asset inventories
- Museum Studies-based research
- Specimen and object-based research
- Community needs-based research
- Public engagement in scholarship
- Digital collections access and use research
- Connecting research and public understanding
- Nationally significant collections for research
Strengthen Stewardship

- Collections of breadth and depth
- Maintaining professional standards of operations
- Curatorial and museum professional expertise

A Collections-Based University Museum
MSU Museum Collection Contacts

Collections Managers and Curators

Collections Managers –
  Cultural, Lynne Swanson (swansonl@msu.edu)
  Natural, Laura Abraczinskas (abraczi1@msu.edu)
Division of Vertebrate Natural History Curators –
  Barbara Lundrigan (lundriga@msu.edu)
  Michael Gottfried (gottfrie@msu.edu)
  Pamela Rasmussen (rasmus39@msu.edu)
Division of History Curator –
  Val Berryman (berryma2@msu.edu)
Division of Folk Arts Curator –
  Marsha MacDowell (macdowel@msu.edu)
Division of Anthropology Curator –
  William Lovis (lovis@msu.edu)
Research and Creative Endeavor at MSU: Steps to Success

September 27, 2007

MSU Technologies
September 27, 2007

The formation of MSU Technologies represents an important step in the evolution of IP management and technology commercialization at MSU, and comes at a critical time, as MSU continues to play an increasing role in the effort to diversify and improve the Michigan economy. While we work to transfer a wide range of MSU intellectual property to the marketplace, we also hope to provide MSU researchers with feedback from the marketplace that will assist them in performing research of high quality and high impact. Our goal is to create a technology commercialization process that is efficient and effective, and that develops and uses relevant data as the basis for making decisions and allocating resources.

Over the next 12-18 months, we will undertake a two-pronged approach as we create this new office and implement a new way of doing business. First, we will increase and improve our internal capabilities by hiring approximately a dozen new staff members. While a number of these will replace former Office of Intellectual Property staff members, the majority of these new hires represent new capability in the department. Special attention will be paid to training the staff and building infrastructure to insure the office is capable of meeting the significant needs of MSU’s growing research enterprise. Second, working with expert external consultants, we will undertake a comprehensive review of MSU’s portfolio of existing technologies, and actively market those technologies found to have commercial potential.

Please contact us if we can be of service. We look forward to working with you.

Mike Poterala
Assistant Vice President for Research and Graduate Studies and Executive Director, MSU Technologies
MSU Technologies

• Core MSUT responsibilities:
  – Receive and evaluate invention disclosures (IDs) from MSU inventors
  – Retain outside patent counsel to perform patentability searches, and to file and prosecute patent applications
  – Market MSU patents to potential licensees
  – Negotiate, execute, and administer licenses
  – Collect and distribute license revenue
  – Manage MSU’s portfolio of copyrighted works
MSU Technologies

• Core MSUT responsibilities:
  – Negotiate and execute material transfer agreements (MTAs) and non-disclosure agreements (NDAs) on behalf of MSU
  – Assist Office of Contract and Grant Administration in negotiating IP clauses in research contracts and grants
  – Assist other MSU units with IP issues
MSU Technologies

MSU policy on Patents:
http://www.hr.msu.edu/HRsite/Documents/Faculty/Handbooks/Faculty/ResearchCreativeEndeavor/vi-patents.htm

MSU policy on Development of Copyrighted Materials:
http://www.hr.msu.edu/HRsite/Documents/Faculty/Handbooks/Faculty/ResearchCreativeEndeavor/vi-copyrightedmaterial.htm
Patent Policy

Any discovery or invention which a) results from research carried on by, or under the direction of, any employee of the University which is supported by University funds or by funds controlled or administered by the University, or b) results from an employee's duties with the University, or c) has been developed in whole or in part through the utilization of University resources or facilities not available to the general public shall belong to the University ("University Inventions").
Patent Policy

In order to assist the University in protecting University Inventions, University employees and students (including postdoctoral appointees, graduate and undergraduate students) shall disclose any University Inventions to the University prior to disclosing such discoveries or inventions through publications, presentations, or communications with third parties (including research sponsors) in a manner which may inhibit or preclude the University from obtaining patent protection.
Staffing

Mike Poterala, Executive Director
Brad Shaw, Licensing Associate
Tom Herlache, Licensing Associate
Tami Hemingway, Licensing Associate
Chris Force, Copyright Associate
Julie Garcia, Administrative Assistant
Janellé Flores, Secretary
Stephanie Michelle Joseph (Student Aid)
MSU Technologies

Contact information:

MSU Technologies
3900 Collins Road, Suite 1044
Lansing, MI 48910
Phone 517 355 2186
Fax 517 432 3880
**Mission** - to provide timely, accurate, and courteous assistance to faculty and support staff with the financial and contractual aspects of submitting proposals to external sponsors; and to administer awards according to sponsor's and MSU regulations.

**Statistics** - Organized under both VP for Finance (primary) and VP for Research, CGA assists the procession of 2,500 proposals per year; has 3,000 active accounts; $282 million in expenditures ($211 Federal); CGA has added new staff to provide more timely service to faculty!
Contract & Grant Administration

CGA Services – Proposal to close-out

• Proposal review including:
  
  Budget review for accuracy and completeness; Request For Proposal (RFP) review for terms and conditions.

• Proposal/Award negotiation:
  
  Protection of intellectual property, publication rights, default clauses, etc. This includes general business common sense reviews to ensure the funding instrument (grant, contract, cooperative agr.) is appropriate for the project.

• Accounting functions:
  
  Account setup, cash management, expenditure review, financial reporting, and account close-out.
Contract & Grant Administration

CGA Services - Continued

• Other University compliance duties:
  effort reporting, human subjects checks, Facilities & Administrative (F&A) cost calculation and negotiations, etc.

Audit liaison

Organization

• CGA personal are specialized by agency.

The same person will help you from proposal preparation to final report.
The MSU Process

**PI** – Find and write proposal!

**PI/Dept/CGA** - Develop the budget

**PI/Dept** – Complete the internal approval process, i.e. “Transmittal Sheet”

**CGA/PI** – Negotiate award (revised budget & narrative)

**CGA** – Account Setup

**PI/Dept** – Spend money and do research!

**CGA** – Collect cash & do financial reports

**PI** – Complete technical reports and oversee to project

**CGA/PI/Dept** – Final close-out reports
CONTRACT & GRANT ADMINISTRATION (CGA)

Late Breaking News
- CGA Training for Departmental Administrators...Save the dates! 10/17 and 12/4
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- Research Policies & Major Guidelines
- Revenue Codes
- Signature Authority

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- Important Industry Research Forms
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- Simple Cooperative Research Agreement

Frequently Required Proposal Data
Congressional District, IRS #, etc.
Who should I call W/Agency ?/Contact people in CGA

Who May Submit a Proposal
Institutionally Limited Proposals
List of Parties Excluded From Federal Procurement - Debarment List
(Note: click the "OK" button when searching) Economic Sanctioned Countries - OTAC
Export Control Information - MSU VPR
Fiscal Misconduct Hotline

- Fringe & Salary Budget Guidelines, Research Fringe Information
- Grad Stipend Ranges, Grad Fringe Chart & Common Budget Mistakes

MSU Transmittal Approval Form

Indirect Costs/Overhead/Facilities & Admin. Costs - they all mean the same thing!
Current Rates, General Information

USDA: USDA FAQs & Budget Forms

NSF & PHS Financial Conflict of Interest: MSU NSF/PHS Policies Forms - (Acrobat PDF File) Or (Word Document)
MSU COI Article from Vol 16 Research Integrity Newsletter

Equipment Information

Semester Effort Report Instructions

Documentation necessary to approve:
- JVE or eJVEs
- Late Personnel Action forms

Our Office Location

CGA Mission Statement
Welcome EVON, Department of... (read your Acceptable Use Policy statement)
Search for Principal Investigator (PI) names:

- Enter PI Last Name:
- Limit to Proposals for the
  - were signed by CGA between the above dates
  - were signed by CGA between the above dates and were awarded
  - Limit to: All, Research, Education, International, or Extension type proposals
  - Limit to: All, Funded and Pending, Funded, Pending, or Unfunded Proposals
  - Create Down Load File?

[Run Query] [Reset]
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CGA Mission Statement
# Frequently Required Proposal Data

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
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<tbody>
<tr>
<td><strong>MI Congressional District</strong></td>
<td>MI-008</td>
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<tr>
<td><strong>Employer Identification Number (EIN) for HHS/PHS/NIH</strong></td>
<td>138-6005984A1</td>
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<td><strong>Employer Identification Number (EIN) for all other agencies</strong></td>
<td>38-6005984</td>
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<tr>
<td><strong>IRS EIN (same as MSU Tax ID number)</strong></td>
<td>38-6005984</td>
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<td><strong>Sales Tax Exemption Certificate</strong> and <strong>Taxpayer Identification Number</strong></td>
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<td><strong>and Certification Form W-9</strong></td>
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<td><strong>NSF Organizational Code</strong></td>
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<td><strong>Type of Organization:</strong></td>
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<td><strong>HHS/PHS</strong></td>
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<td><strong>USDA</strong></td>
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<td><strong>USDE</strong></td>
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<td><strong>NIH/PHS Human Subjects Assurance of compliance # for MSU - expires</strong></td>
<td>00004556 (for electronic submissions)</td>
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<td>2/14/2009. This includes 3 IRBs: Biomedical (BIRB), Social Science (SIRB), and Community Research (CRIRB).</td>
<td>FWA-00004556 (for paper submissions)</td>
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<tr>
<td><strong>NIH/PHS Animal Welfare Assurance # for MSU</strong></td>
<td>A3955-01</td>
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<tr>
<td><strong>Research F&amp;A or Overhead Rate</strong> (Click here for PDF copy)</td>
<td>51% MTDC</td>
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<tr>
<td><strong>MSU NIH Profile Number</strong></td>
<td>5245901</td>
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<tr>
<td><strong>DHHS Agreement Date (for Indirect Costs or F&amp;A)</strong></td>
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<td><strong>Fringe Benefit Rates</strong></td>
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<td><strong>DUNS Number</strong></td>
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<td><strong>Federal Interagency Committee on Education (FICE) Institution Code</strong></td>
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<td><strong>North American Industrial Classification (NAICS)</strong></td>
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<td><strong>What is the EO 12372, found on the federal coversheet SF-424 box 16, all about?</strong></td>
<td>EO 12372</td>
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<td><strong>J-1 Visa Designation</strong></td>
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<td><strong>Cage Code:</strong></td>
<td>P-10855 MSU</td>
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<td><strong>State of MI MESC (Unemployment Agency) Employer ID #</strong></td>
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<td><strong>MSU Office of Affirmative Action</strong></td>
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<td><strong>MSU Financial Summary Information for Proposals</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Legal Applicant Name</strong></td>
<td></td>
</tr>
</tbody>
</table>
CGA Salary Budget Builder! (updated with 7/1/07 SI costs)

Please use the following tool to calculate the salary and fringe portion of your budget. Please notice the importance of the projected begin dates (month and year) as the current salary is increased by the inflation factor, and then prorated assuming MSU annual salary raises are effective in October of each year. Also, the "lookup person" button works by opening another window. If your web browser blocks pop-up windows, this feature may not work.

Starting Calendar Year: 2007  Starting Month: March

<table>
<thead>
<tr>
<th>Action</th>
<th>Name</th>
<th>Title (Appt Length)</th>
<th>Department (CUC)</th>
<th>Current Salary</th>
<th>PostDoc</th>
<th>Only one input needed below</th>
<th>Effort % on Project</th>
<th>Person % Incr</th>
<th>Person Months</th>
<th>Subject to retirement?</th>
<th>Emp Status</th>
<th>Project Year 1 (2007)</th>
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<tbody>
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<td></td>
<td></td>
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<td>10 %</td>
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<td>$50</td>
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**CGA Mission Statement**
MICHIGAN STATE UNIVERSITY

Transmittal for Request and/or Acceptance of Gift, Grant, or Contract Support. The original and one copy of the proposal and/or notification of award must accompany this form. The PI/Department is responsible for mailing this proposal to the agency.

PROJECT LEADER(S) Department(s)/College(s)

SPONSOR: 
Prime Sponsor (if different): 
If requesting more than $20,000 from a private or corporate foundation, e-mail or faxed approval from University Development MUST be attached. AGENCY Deadline
If sponsor is USDA, approval of MAES is required - see signature line below.

TITLE OF PROJECT:

Other project keywords: 

TYPE OF PROJECT: New □ Supplement □ Continuation/Renewal □ Revision of APP # ________

PRIMARY NATURE OF PROJECT: Research □ Education □ Public Service □ Other □

IF CHECK ATTACHED: Check No. ________ in the amount of $________ to Account #(s) ________
[For Business office use: Date Deposited ________ Deposit Receipt #______]

FIRST/CURRENT YEAR DATES & BUDGET (Sponsor’s share only)

From: ________ To: ________ $________

Overhead Rate: ______ % Amount to be subcontracted: $________

TOTAL PROJECT DATES & BUDGET (Sponsor’s share only)

From: ________ To: ________ $________

Total cost sharing/matching/in-kind included: $________

WILL THIS PROJECT REQUIRE OR INVOLVE: Yes No

Additional space on or off campus? (Requires approval of OPB/Facilities Planning & Space Mgt. & copy of space plan.)

Major alterations or renovations? (Requires cost estimate from Physical Plant and approval of OPB/FPSM.)

Significant outreach component?

International activities? (Requires approval of ISP)

Is this associated with an MAES faculty appt. or project?

For NSF & PHS/NIH proposals, is the required financial conflict of interest disclosure attached?

Have patent or copyright commitments been promised to the Sponsor? Patent □ Copyright □ No □
Questions?

Call us!
Fax or e-mail us your budgets!
We’re here to help you!

WWW.CGA.MSU.EDU
Phone 5-5040
Fax 3-9812