

Welcome to Michigan State University Research

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# Office of the Vice President for Research & Graduate Studies

New Administrator Orientation  
August 9, 2017



# Research: The Foundation for Success

- Research is the basis for education and outreach
- Dynamic research programs—based on a forward-thinking research agenda—address problems of today and tomorrow
- Furthering research – advancing knowledge – gives MSU international prominence



# Mission of OVPRGS

- Create the institutional vision for research
- Advocate for research and creative activities within MSU and beyond
- Increase the quality and quantity of research and creative endeavors at MSU
- Assure the integrity of the research process in all its diverse dimensions



# Why Enhance Research?

- MSU is a research-extensive university (member of AAU)
- Research and scholarly activity is closely linked to graduate and undergraduate education
- Research – especially federal funding – determines national and international reputation
- Facilities and administrative (F&A) rates reduce university's subsidy for research, leverages central funds
- Research grants enable procurement of major equipment and sustain core research facilities
- Research contributes to the state's economy



# How Will We Grow Research?

## **Take intelligent risks**

- No mistakes means too risk-averse
- Fail early, correct fast
- Incentives must allow for occasional mistakes: Silicon Valley
- Exponential returns for successful risks – we forego these returns if we are too risk-averse



# How Will We Grow Research?

## **Leadership: rational and smart**

- “No brainer” decisions must be predictable
- Transparency in decision making (metrics, criteria) reduces second-guessing (wasted effort within organization)
- Staff and team should be able to (largely) predict decisions in advance, in order to plan



# How Will We Grow Research?

- **Pursue larger share of federal research funds**
    - Faculty in areas where external support is available must compete successfully for it
    - Faculty must submit large multi-investigator proposals (linked to cluster hires)
  - **Enhance corporate research activity**
    - MSU Business-CONNECT
    - MSU Technologies
    - MSU Spartan Innovations
- MSU  
Innovation  
Center



# External Funding Sources

- **SciVal** <http://www.funding.scival.com/home#b> comprehensive funding database of federal and private foundations
- **VPRGS website** <http://vprgs.msu.edu/find-funding> lists many external funding sources and internal programs
- **Office of Research Facilitation and Dissemination** <http://vprgs.msu.edu/funding-opportunities> some funding or limited submission opportunities emailed directly to faculty
- **MSU Libraries** offers “Grants and Related Resources” at <http://libguides.lib.msu.edu/grants>
- **Other information sources:** <http://grants.gov/> lists all federal funding opportunities





# Institutionally Limited Proposals

- **Limited submission opportunities**, including faculty scholar and fellowship programs, available at <http://vprgs.msu.edu/funding-opportunities/institutionally-limited>
- OVPRGS conducts an **internal selection process** to determine which proposals will be submitted.
  - Where possible, internal deadlines 8 wks prior to submission.
- Researchers can **subscribe to a listserv** to receive email updates about opportunities at [limited@msu.edu](mailto:limited@msu.edu)
  - Note, there may be other institutionally limited funding opportunities not listed.



# Internal Funding Sources

- Competitive, university-wide, peer-reviewed internal grants programs support scholarly activities and provide seed funding for future proposals. <https://gps.vprgs.msu.edu/>
  - **Humanities and Arts Research Program (HARP)**
    - Scholarship Development proposal (deadline in October)
    - Scholarship Production proposals (semiannually)
  - **Strategic Partnership Grant** proposals solicited in the fall
  - **New initiative:** Research in Autism, Intellectual and Neurodevelopmental Disabilities (RAIND)



# Arranging for Matching Funds and Space

- When funding agencies require matching funds
  - Research associate dean
  - Negotiate a split among department, college, OVPRGS, provost
- Space concerns
  - Dean/research associate dean/department chair/director



# Sponsored Programs Administration

- The Office of Sponsored Programs (OSP): unit within the Office of the Vice President for Research and Graduate Studies (organizational affiliation to chief financial officer and controller) that provides **pre-award processing**
- Contract and Grant Administration (CGA): **post-award administration**, assisting with the financial and contractual administration of grants, cooperative agreements, and contracts  
<https://osp.msu.edu/Default.aspx>



# Proposal Development Assistance

- Office of Research Facilitation and Dissemination (ORFD)
  - Offers **writing support** on large, multi-author proposals. Call 432-4499 or [vprgs.msu.edu](http://vprgs.msu.edu)
  - Presents **seminars and workshops**, including monthly coffee break discussions. Check calendar <http://vprgs.msu.edu/calendar> for details.

Note: Your college or department may also offer proposal assistance.



# Research Misconduct

- **Research Integrity Officer (RIO):** Jim Pivarnik, [rio@msu.edu](mailto:rio@msu.edu); 432-6698; [www.rio.msu.edu](http://www.rio.msu.edu)
- **Faculty Conflict of Interest Officer:** Brian Mattes, [mattesbr@msu.edu](mailto:mattesbr@msu.edu) ; 884-7000; <http://coi.msu.edu>
- **Responsible Conduct of Research** series of presentations <http://grad.msu.edu/researchintegrity/>



# Review and Promotion

- **Clearly stated expectations** for 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—RIO and RCR
    - Faculty conflict of interest



More Information...

[vprgs.msu.edu](http://vprgs.msu.edu)





# Export Control – Technology

1. The U.S. government controls “deemed” exports of certain technology inside the U.S., as well as exports abroad.
2. “Fundamental research” on a US university campus is excluded from export controls under ITAR (military) and EAR (dual use) provisions. Publication is key.
3. The “Fundamental Research Exclusion” is lost for:
  - a. Encryption;
  - b. If **publication or citizenship restrictions** apply;
  - c. If in-bound controlled data or equipment;
  - d. For contracted prototypes or defense services.
4. ITAR controlled technology is restricted to U.S. citizens and permanent residents. EAR tech varies by specific citizenship.



# Export Control – The Entity List

05.03.2013

## University Charged with Export Violations

BY: THOMAS B. MCVEY & JAHNA M. HARTWIG

<http://www.williamsmullen.com/news/university-charged-export-violations>

The **University of Massachusetts at Lowell** was charged by the Bureau of Industry and Security (“BIS”) for violating export control laws in connection with the export of an atmospheric testing device and related equipment. Specifically, the University was charged with...**exporting items classified as EAR99 to a party on the BIS Entity List**. This case reinforces the important point that even universities engaged in fundamental research are required to comply with export control laws. It also reinforces the importance of prohibited party list screening as a mandatory part of export compliance...



# Trade Sanctions

**E.g., U.S. Treasury’s “Specially Designated Nationals” list and Trade Sanctions imply:**

- **MSU Dubai – avoid Bank Melli (Iran gov’t link).**
- **MSU Alumni Association – participants must be careful during upcoming Cuba tourism.**
- **MSU USAID researchers – participants must be careful in Myanmar (Burma) project.**

**For EC&TS assistance: Jamie Haberichter 432-4499**



# Issue Escalation

When in doubt, **ask** -- any time, day or night. OVPRGS staff can help. (517) 432-4499

Failure to escalate some issues can be a “career crash landing”.

Health and safety concerns

Criminality, discrimination, harassment

Research or fiscal misconduct

Regulatory compliance

New administrators frequently overlook the Office of the General Counsel as a resource.



# Regulatory Affairs - Who are we?

- **Human Research Protection Program**
- **Animal Care Program**
- **Environmental Health and Safety**
- **Institutional Stem Cell Research Committee**
- **Conflict of Interest**



# The Committees

**Institutional Animal Care & Use Committee - Sue Barman, Chair**

**Sally Light, IACUC Administrator**

Phone: 517-432-3154

E-mail: [barman@msu.edu](mailto:barman@msu.edu)

**Biological Safety Office – John Gerlach, Chair**

**Jamie Willard, Biological Safety Officer**

Phone: 517-353-1877

E-mail: [cherryme@msu.edu](mailto:cherryme@msu.edu)

**Radiation Safety Office – Chris Waters, Chair**

**Bryan Harris, Radiation Safety Officer**

Phone: 517-884-3309

E-mail: [harris@ehs.msu.edu](mailto:harris@ehs.msu.edu)

**Chemical Safety Office – Karen Chou, Chair**

**Genevieve Cottrell, Chemical Safety Officer**

Phone: 517-432-8715

E-mail: [cottre36@ehs.msu.edu](mailto:cottre36@ehs.msu.edu)

**Campus Animal Resources**

**Claire Hankenson, University Attending Veterinarian**

Phone: 517-353-5064

E-mail: [fclaire@msu.edu](mailto:fclaire@msu.edu)

**Faculty Conflict of Interest Office**

**Brian Mattes, Director**

Phone: 517-884-7000

Email: [mattesbr@msu.edu](mailto:mattesbr@msu.edu)

**Human Research Protection Program (HRPP)**

**Kristen Burt, Director**

**Ashir Kumar, Chair BIRB - Harry McGee, Chair SIRB**

Phone: 517-884-6020

E-mail: [irb@msu.edu](mailto:irb@msu.edu)

**Stem Cell Oversight – Katheryn Meek, Chair**

**Kristen Burt, Director**

Phone: 517-884-6020

E-mail: [burtkris@msu.edu](mailto:burtkris@msu.edu)



# What do we do?

- Facilitate research
  - Transfer ongoing work – all work requires a protocol
  - Help with COI disclosures
- Protect the research subject and the investigator
- Maintain compliance with state and federal laws, regulations and policies
- Training
- Accreditation



# How can we help investigators?

- Assist faculty in working through protocol approval process
- Help stay in compliance through post-approval monitoring
- Provide online and hands-on training
- Work with your faculty to ensure a safe work environment





# Coming Soon

## New Compliance Management Suite

- New web-based system for:
  - Institutional Review Board (IRB) – December 2017
  - Institutional Animal Care and Use Committee (IACUC) – Spring 2018
  - Environmental Health and Safety (EHS) – Fall 2018
- Some anticipated benefits:
  - Streamline the creation, submission, and review of applications and protocols for researchers and reviewers
  - Improved security and transparency for compliance processes
  - Allow researchers to better track approved documents
- More information about the deployment of the new system will be available on the Research Administration Project website ([ra-project.vprgs.msu.edu](http://ra-project.vprgs.msu.edu)) and the ORA website ([ora.msu.edu/](http://ora.msu.edu/))



# Questions

[www.ora.msu.edu](http://www.ora.msu.edu)

**It is always best to directly contact the regulatory  
office with questions!**



# What Every New Administrator Should Know About Research Misconduct

**James M. Pivarnik, PhD**  
**Research Integrity Officer (RIO)**  
**Michigan State University**

[www.rio.msu.edu](http://www.rio.msu.edu)

RIO@msu.edu

107 Olds Hall

432-6698



# What the RIO does

- The RIO is responsible for seeing to it that the MSU Procedures Concerning Allegations of Misconduct in Research and Creative Activities are carried out in an unbiased, confidential, and professional manner.
- Required for any institution seeking and accepting federal funding (42 CFR 93)



# The role of the RIO

- The RIO shall coordinate implementation of these Procedures and shall be responsible for their fair and impartial administration. **The RIO shall not be an advocate for the Complainant or the Respondent.**




What exactly is  
“Research Misconduct”?



# Research Misconduct

**Fabrication, Falsification, Plagiarism**, or any other practice, that **Seriously Deviates** from practices commonly accepted in the discipline or in the academic and research communities generally in proposing, performing, reviewing, or reporting Research and Creative Activities. ***Misconduct does not include appropriative practices in the Creative Arts insofar as they accord with accepted standards in the relevant discipline.*** Misconduct does not include honest error or honest differences in the interpretation or judgment of Research data.



# Standard of Determination for Research Misconduct

- There be a **significant departure** from accepted practices of the relevant research community; and
- The misconduct was committed **intentionally, knowingly, or recklessly**; and
- The allegation be proven by a **preponderance of the evidence**





- **“Unacceptable Research Practices”**  
means practices that do not constitute Misconduct but that violate applicable laws, regulations, or other governmental requirements, or University rules or policies, of which the Respondent had received notice or of which the Respondent reasonably should have been aware, for proposing, performing, reviewing, or reporting Research or Creative Activities.



What about individuals who are  
always on the edge?



- **“Questionable Research Practices”**  
means practices that do not  
constitute Misconduct or  
Unacceptable Research Practices but  
that require attention because they  
could erode confidence in the  
integrity of Research or Creative  
Activities.



# Question

- What percentage of potential allegations coming to our office is associated with some sort of previous conflict between/among the parties involved?
- ~ 90%!!



# Is Research Misconduct an Issue at MSU?



# What about prevention?

- Advice
- We encourage students, faculty and administrators to ask us about any research issues



# What about prevention?

- Dispute Resolution
- We encourage students and faculty to seek our help with settling disputes



You can report anonymously





# Questions?

