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INQUIRY

OFFICE OF VICE PRESIDENT FOR RESEARCH

INSIDE THIS ISSUE:

**TECHNOLOGY
TRANSFER** 2

**HUMAN SUBJECTS
REVIEW** 2

**RESEARCH MIS-
CONDUCT POLICY** 2

**INTERNAL FUND-
ING** 3

**F&A COSTS AND
RETURN** 3

**GRANT WORK-
SHOPS** 4

REORGANIZATION 4

OVPR MISSION

THE OFFICE OF THE VICE PRESIDENT FOR RESEARCH EXISTS TO SUPPORT THE EXTERNAL FUNDING INITIATIVES OF WMU FACULTY, STUDENTS, AND STAFF; TO ASSURE COMPLIANCE WITH ALL APPROPRIATE FEDERAL AND STATE REGULATIONS; AND TO ADVANCE THE OVERALL RESEARCH AGENDA OF THE UNIVERSITY.

**WWW.WMICH.EDU/
RESEARCH**

OVERVIEW OF OVPR AND EXTERNAL FUNDING

The Office of the Vice President for Research (OVPR) supports external funding initiatives for WMU faculty, students, and staff, in compliance with all appropriate federal and state regulations and to advance the overall research agenda of the University. **In FY 2006-2007, external funding reached \$33.5 million** and yet this is just an indicator of the funded and unfunded research and creative activities ongoing at WMU.

Grant applications and the administrative processes can be complex, and increasingly faculty are reminded of the need to comply ethically and according to University and federal regulations. The OVPR staff are here to help. This special issue of *Inquiry* illustrates some of the programs, processes, and people which make up pre-award administration at WMU.

Organization

OVPR is located on the second floor of Walwood Hall, East Campus, off of Oakland Drive. OVPR has four Research Officers to assist faculty through the pre-award (to submission) phase. See page 4 for details. In 2005 OVPR added a **Technology Transfer Director**, Michael

Sharer, to our staff. Mike's role is to assist faculty, staff and their students with intellectual property and commercialization issues. The goal is to increase the commercial impact and value of WMU faculty discoveries and inventions. Over the last year this has necessitated changes in the IP policy, which was approved by the Faculty Senate, and in the way OVPR handles industrial contracts. **Industrial Contracts** are now overseen by individual Research Officers who can assist faculty with negotiating these contacts and with the paperwork needed to get university and industry sign-off.

Grant administration (post-award) issues are handled by a fiscal analyst in **Grants and Contract**, located in the Administration Building, and under the auspices of the Vice President for Business and Finance. More information about them is available at: www.obf.wmich.edu/grants-contracts/.

Increasingly, **Research Ethics and Compliance** are a part of the research enterprise.

Vicki Janson in OVPR is our Research Compliance Specialist. Vicki coordinates the functions of the Human Subjects Institutional Review Board (HSIRB), the Institutional Animal Care and Use Committee (IACUC), and the Recombinant DNA Biosafety Committee (RDBC). **Jim Center** serves OVPR as the University's radiation safety officer, overseeing all research projects that use radiation and/or radioactive materials. **Dr. Karim Essani** ensures all related research projects meet federal microbiological safety and security.

A Research Misconduct Policy and Procedures manual (approved 2006) is available in PDF format on the OVPR web site. It is highly recommended that all faculty review the Research Misconduct Policy and talk with their students about Research Misconduct.

What You Should Know:

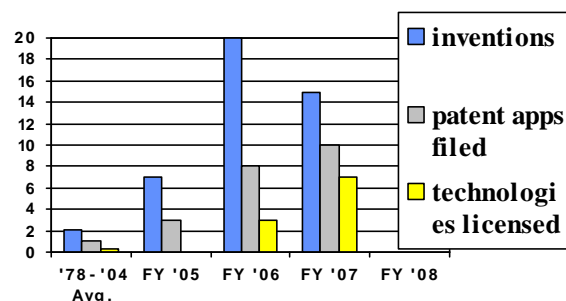
- All grant and contract submissions require a Project Approval Form prior to submission.
- Never assume your project is exempt from HSIRB approval. Too often graduate students cannot use their data because their proposals were not reviewed by HSIRB.

TECHNOLOGY TRANSFER

A substantial amount of research conducted at WMU results in new findings and discoveries that can benefit society. The transfer of these discoveries to the commercial sector is coordinated through the Intellectual Property (IP) Management & Commercialization ("technology transfer") function. To better understand IP issues and the commercialization process at WMU, researchers should contact Michael Sharer early in the process (michael.sharer@wmich.edu). For the upcoming year, OVPR and TT have established a **\$45,000 Technology Development Fund (TDF)** to support the development/refinement of new technologies

that have been disclosed to the TT office. Details about the fund and application process will be forthcoming in early fall. **Dr.'s John Patten and Dongil Lee** recently won competitive IP related MI Universities Commercialization Initiative (MUCI) grants from the state. These researchers and the TT office had previously patented their nascent technologies and subsequently prepared MUCI grant applications for further development of this commercially valuable IP. The TT office and OVPR have also assembled WMU's first **IP & Commercialization faculty advisory committee**: John Geiser (Biol.), John

Yearly IP and Commercialization Data at WMU



The Table above shows Technology Transfer Data since the office began in 2005.

Gesink (ECE), Dan Farrell (Mgmt.), Tom Joyce (PCI), Leszek Lillien (CS), John Miller (Chem.), and Leonard Ginsberg.

HUMAN SUBJECTS REVIEW

The **Human Subjects Institutional Review Board (HSIRB)** is a local review board, established by the WMU Board of Trustees in accordance with federal regulations, to interpret and apply federal regulations, state law, and research sponsor requirements for the use of human subjects in research. The HSIRB is charged with the protection of the rights and welfare of human subjects in research conducted under the aegis of WMU.

The three basic ethical principles guiding the HSIRB are derived from the [Belmont Report](#): respect for persons, beneficence, and justice. By submitting a protocol to HSIRB:

- Investigators comply with University policy and federal regulations.
- Investigators promote the protection of the rights and welfare of research participants.

- Faculty set an example for student researchers.

Graduate student mentors need to require their students whose research projects include working with human subjects in any way to contact **Vicki Janson** to determine the need for HSIRB review. If the project does not require HSIRB review, a letter from the OVPR compliance office will be provided. There are cases of students unable to complete their theses because they did not seek HSIRB approval. Faculty are likewise reminded to check with HSIRB before beginning projects that involve the use of human subjects.

MISCONDUCT IN RESEARCH

The WMU **Research Misconduct Policy and Procedures** applies to: (a) the conduct of research and/or related activities, whether or not the research is externally funded; (b) the presentation and/or publication of results; (c) the process of applying for funds; (d) the expenditure of project funds; and (e) the fiscal reporting on the use of project funds.

WMU faculty, students, trainees, or any member of the staff found to have committed research misconduct are subject to discipline, up to and including discharge or expulsion. In addition the findings will, where appropriate, be reported to external entities or authorities and the external entity or authority may take additional action. Disciplinary action proceedings shall be in accordance with applicable University policies, codes, procedures, and/or collective bargaining agreements.

Check the research website for information and calendar dates on upcoming workshops, conferences and brownbag luncheons. These events will be announced as dates are confirmed, so check the calendar regularly.

INTERNAL FUNDING FOR FACULTY

The University provides several competitive opportunities to obtain internal funding for your projects. Funding ranges from assistance with travel to presentations to small project support.

The majority of funding is administered by OVPR but the College of Arts and Sciences (CAS) and other colleges and departments have provided internal sources of support in the past.

Major funding opportunities include:

- The Faculty Travel Fund provides up to \$700 approximately for travel to a meeting.
- Faculty Research and Creative Activities Fund (FRACASF) provides up to \$10,000 for research projects.
- PPPE—Preparation, Publication and Presentation Fund provides \$500 for related costs.
- Research Development Award Program (RDA) program is a year-long program to prepare junior faculty to achieve external funding.
- Advanced RDA is a new program to help more senior faculty achieve external funding.



Walwood Hall, East Campus
home of OVPR

FACILITIES AND ADMINISTRATION COSTS

Facilities and Administration costs (F&A) or indirect costs are funds above the direct cost of the project provided to the University to defray some of the costs of maintaining the grant. The University rate is set in a formal process that occurs every few years and takes into account the amount of space used for research and other costs. Currently our full rate is 48% of the direct costs. F&A is important to research at WMU. It pays for about half of the OVPR staff and much of Grants and Contracts. It is University policy that submitted grants

must request the full rate unless:

- The project is off campus.
- The agency has a policy or the RFP states a different rate.
- The VP for Research agrees to the reduced rate in advance.

WMU has a generous return policy which gives 40% of the total to the college, department and PI. Last year this returned \$1.2 M to these

units. These return funds were critically important to research at WMU. They provided cost share, startup costs, travel funds and other needs critical to all researchers. A major goal to improve research at WMU must be to increase the overall percentage of F&A obtained on grants. OVPR has substantially reduced waivers of F&A and we have been negotiating higher F&A rates on industrial contracts.

We need your assistance and understanding of this process.

Grant Writing Tips

- Write to your audience. Determine who will be reviewing the grants and what is the goal of the organization.
- Have someone else review your grant before submission.
- Do not wait until the last hour to complete your grant. Problems with electronic submissions can keep your grant from being reviewed.
- Carefully read the RFP and follow directions.
- Call WMU research officers for help
- NSF and NIH announce changes in font requirements, e.g. for proposal submissions. Check sponsor website for details, or contact our research officers.

FINDING IMPORTANT NUMBERS ON OUR WEBSITE

Federal grants require University identification numbers. In particular the DUNS number is often required. To locate this and other required information go to the OVPR website and under Grant Writing select "Required Information" (www.wmich.edu/research/information.html).

For our latest projections on future fringe and graduate rates click on Budget Guidelines (www.wmich.edu/research/budget.html).

GRANT WORKSHOPS

The OVPR offers workshops on a variety of topics related to conducting funding searches, grant administration, proposal writing and development, and research compliance. See the OVPR website calendar for details.

OVPR also brings in experts on grant seeking.

David Bauer, president of David G. Bauer Associates, Inc., will be on campus Monday, October 1, 2007, to conduct a workshop on grant seeking. The morning session will concentrate on federal grants while the afternoon session will focus on foundation grants. David will meet with the current group of RDA's and invited guests for a working luncheon session. Faculty, staff and graduate students who are interested in attending the workshop should contact Walter Worthly at 387-8282.

Topics to be covered include:

- Sponsors: Who has the money?
- Proposal Ideas: How to develop and evaluate an idea into a full proposal.
- How to analyze the competition.
- Proposal Review: How it works and how to become a reviewer.

Bauer is considered a national expert on grant seeking, and he currently has eight books published on this subject. Bauer stresses the importance of doing one's homework and getting to know the funding source prior to writing a proposal.

GRANTS.GOV

Grants.gov is an electronic submissions portal that manages interactions between grant applicants and the federal agencies that manage those funds. Fastlane through the National Science Foundation is another electronic submissions and tracking module.

With over 1000 grants offered by 26 federal agencies, OVPR recommends that electronic processes begin 5 days ahead of deadline; that faculty work closely with research staff to complete needed forms and attachments; conduct careful crosschecks of forms to instructions; and, complete budget negotiations by securing required signatures on the PAF "bucksheets", in advance of the deadline.

Contact Information

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OVPR Research Officer Constituency Areas

Wil Emmert:: Evaluation Center, CAS (Dean's Office, Math, Statistics, Geosciences, Geography, Physics, Mallinson Institute for Science Education), Environmental Studies, Aviation.

Gina Betcher: CAS (Humanities), CFA, COE, TGC, International Studies, HIGE.

Mary Anne Sydlik: CAS (Biology, Chemistry, Psychology, Sociology), LHC, CHHS.

Barb Wygant: CAS (Political Science, Public Administration), CAES, HCOB, Nano Research

A complete list of constituency areas will be posted in September. Check our website: (www.wmich.edu/research).

REORGANIZATION OF OVPR

We are pleased to announce a new organizational initiative that will allow the OVPR to maximize its interactions with faculty, staff, and students as they seek to identify sources of research funding. Research officers assist in grant development, writing, review, and contract oversight.

With this new organizational structure, research officers/grant developers will be located in Walwood Hall. In an effort to meet the ongoing needs of faculty and staff, however, research officers will hold office hours in their constituency area offices, proactively working with faculty and staff on grant development efforts.

Research Officers currently:

- Assist with developing itemized budgets and budget justifications;
- Review and edit draft proposals for accuracy, completeness, and clarity according to guidelines;
- Assist with negotiating contracts;
- Meet with deans, associate deans and department chairs, and attend department meetings, to discuss funding needs and interests;
- Coordinate funding searches and quality circle reviews;
- Submit proposals using Grants.gov and NSF's Fastlane.



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