



Key Purdue Policies

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Agenda

- Purdue Policy Homepage
- Policy on Research Misconduct
 - Policy VIII.3.1
- Policy on Intellectual Property
 - Policy VIII.4.1
- Policies on Conflicts of Interest
 - Executive Memorandum C-1 (Indiana statute)
 - Executive Memorandum C-39 (Ensuring objectivity in research)
 - Permission to Engage in Outside Activities

Purdue Policy Homepage

URL: <http://www.purdue.edu/policies/>



Policy on Research Misconduct

Policy VIII.3.1

Background

- To receive federal grants and contracts, institutions must have and enforce a policy addressing research misconduct
- Executive Memorandum C-22
 - Issued in 1991 in response to requirement, never revised
- FY2000, OSTP issued Federal-wide Policy on Research Misconduct with revised definition of “Research Misconduct;” agencies instructed to implement
- Since FY2000, federal agencies, including NSF and NIH (2005), have issued their implementations
- Policy available at:
http://www.purdue.edu/policies/pages/teach_res_outreach/viii_3_1.html

Core of the Policy

- Research Misconduct = corruption of the “research record”
- Adopt revised federal definition of Research Misconduct
 - Falsification, fabrication, or plagiarism in proposing, performing, or reviewing research, or in reporting research results
 - Defined terms
- Actions departed significantly from standard practices for major research institutions such as Purdue
- Committed knowingly, intentionally, or recklessly
- Honest error or disagreement is NOT research misconduct
- It's not research misconduct to be wrong!

Core of the Policy

- Response to allegations
 - Two stages: inquiry and investigation
 - Review by peers; not administrative review, not legal process
 - Provost, dean and chairperson of Faculty Affairs Committee of University Senate appoint investigation committee
 - Due process for respondent
 - Confidentiality of process
 - Complainant is a witness
 - Evidentiary standard: preponderance of evidence (more likely than not that research misconduct occurred)

Core of the Policy

- Finding of research misconduct may be appealed
- Peer process determines only if misconduct occurred
- Sanctions determined by administrative deciding official

New concepts

- Responsibilities of Purdue Associates (defined term) and Purdue University
- Defined role/responsibilities of Research Integrity Officer (RIO)
- Standing University Committee on Research Integrity whose members will be trained to staff inquiries; domain experts may also be appointed
- Allegation must be delivered to RIO and/or Provost
- Initial assessment of allegation by RIO
- Definitions of inquiry and investigative criteria
- Expanded procedures for appeal of findings and appeal of discipline

New concepts

- Additional procedures in Appendix
 - Preservation of evidence is the responsibility of the RIO
 - Identification of conflicts of interest
 - Expanded procedures for inquiry and investigation
 - Additional allegations arising during the review process



Policies on Intellectual Property

Executive Memorandum B-53

Policy VIII.4.1

Executive Memorandum B-53

- “Use of Copyrighted Materials for Educational and Research Purposes”
 - Administered by University Copyright Office
 - Policy available at:
http://www.purdue.edu/policies/pages/teach_res_outreach/b_53.html

Policy VIII.4.1

- Policy on Intellectual Property
 - administered by OVPR Office of Research Administration
 - Policy available at:
http://www.purdue.edu/policies/pages/teach_res_outreach/viii.4.1.htm
- Purdue University's intellectual property managed by Purdue Research Foundation, Office of Technology Commercialization (OTC)
 - Disclosures to OTC

Core of the Policy

- Ownership of intellectual property
- Distribution of license revenue

Purdue Policy VIII.4.1: Copyright

- **Principle of University Ownership.**
 - The University permits authors to retain the copyright to Instructional Copyrightable Works and Scholarly Copyrightable Works. Excepting only Instructional Copyrightable Works and Scholarly Copyrightable Works, the University shall own the copyright to each Copyrightable Work conceived in whole or in part during the course of any employment, research, or scholarship activity involving or relating to the use of University Resources.

Instructional Copyrightable Work

- “The term Instructional Copyrightable Work means a Copyrightable Work that
 - a) is authored by an identifiable University faculty member or instructor primarily for the instruction of students,
 - b) is not specifically commissioned by the University, and
 - c) is not a recording of a teaching performance made to or for University students.”

Scholarly Copyrightable Work

- “The term Scholarly Copyrightable Work means a Copyrightable Work created by any person subject to this policy primarily to express and preserve scholarship as evidence of academic advancement or academic accomplishment. Such works may include, but are not limited to, scholarly publications, journal articles, research bulletins, monographs, books, plays, poems, musical compositions and other works of artistic imagination, and works of students created in the course of their education, such as exams, projects, theses or dissertations, papers and articles.”

License to University for Instructional or Scholarly Copyrightable Works

- “Each Instructional or Scholarly Copyrightable Work shall, by operation of this policy, be subject to a perpetual nonexclusive, royalty-free license from the author to the University to use, duplicate, and internally distribute the Instructional or Scholarly Copyrightable Work for any pedagogical, research, or educational purpose of the University, subject to attribution of original authorship and to internal academic procedures and requirements of the department and school of origin of the Instructional or Scholarly Copyrightable Work. The foregoing license shall be broadly construed to enable the University’s efforts to preserve research integrity and prevent fabrication, falsification, and plagiarism.”

Purdue Policy VIII.4.1: Inventions

- **Principle of University Ownership.**
 - The University shall own each Invention conceived in whole or in part during the course of any employment, research, or scholarship activity involving or relating to the use of University Resources.

Distribution of License Revenue

- Net proceeds shared
 - 1/3 to inventors
 - 2/3 to University
 - 50% to inventors' departments
 - 50% to Trask Fund (supports development of early-stage IP)



Policies on Conflict of Interest

Executive Memorandum C-1

Executive Memorandum C-39

Executive Memorandum C-1

- Implements Indiana statute [IC 35-44-1-3]
 - Requires that all employees of state government disclose annually to their employer any financial interest of the employee, their spouse, or their dependent children, in any contract, procurement, investment or loan by their employer. Disclosed financial interests are approved by the Board of Trustees and transmitted to the State Board of Accounts.
 - Employees who fail to disclose financial interests commit a felony.
- Form C-1
- Policy available at:
http://www.purdue.edu/policies/pages/human_resources/c_1.html

Executive Memorandum C-39

- Implements
 - Purdue Trustee requirements for permission to engage in outside activities
 - Requirements of federal (NIH, NSF) regulations intended to ensure the objectivity of research
- Policy available at:
http://www.purdue.edu/policies/pages/human_resources/c_39.html

Permission to Engage in Outside Activities

- Form 32A
 - Trustee's regulation
 - Information required
 - Part I: description of the activity
 - Part II: potential for conflict of interest
 - Form 35: Disclosure of Relationships with Outside Organizations
 - Endorsement by department head and dean
 - Submitted to Office of the Provost
 - If activity creates a financial conflict of interest, management plan developed and oversight manager identified
 - Annual Report of Oversight

Objectivity in Research

- Certification on Proposal Submittal Form
- Disclosure of Financial Interest for proposals submitted to PHS agencies (NIH, CDC, etc) and NSF
 - Definition of “investigator”
 - Reporting requirements to sponsor agency
- Question on protocol for research involving human subjects

Technology Transfer

- Purdue employee entrepreneurs wishing to form an entity to license and commercialize a Purdue technology (invention, copyright) must have an approved Permission to Engage in Outside Activity (including COI Oversight Management Plan) before OTC will execute license.