RUSH UNIVERSITY

2013-2014 Teaching Academy

All Rush University Faculty

are invited to the
2013-2014 Teaching Academy!
Presentations will be held every 3rd Tuesday of the month from
12:00 – 1:00 p.m. in room 994 AAC.
Lunch will be provided.

Teaching Academy Workshops/Seminar Series

(Tentative Schedule and Topics)

Date	Topic
July 16, 2013	Wealth Management
August 20, 2013	Turn Your Clinical Work into Academic Productivity
September 17, 2013	Building and Managing Your Research
October 15, 2013	Communicating Effectively: Getting Your Point Across
November 19, 2013	Basics of Budgets and Rules of Funds and Cost Centers
December 17, 2013	How Communication Styles Affect Leadership Skills
January 21, 2014	How to Prepare Quality Test Questions
February 18, 2014	Talent Management
March 18, 2014	Copyright Compliance for Faculty
April 15, 2014	Security and How to Use Encrypted USBs
May 20, 2014	How to Plan and Design a New Course
June 17, 2014	How to Prepare Online Lecturing Using Panopto

Please send your RSVP and/or questions to Stephanie Sacriste,
Department Manager, Office of Academic Affairs at
Academic_Affairs@rush.edu or (312) 563-6395.

1. **If you don't know the destination, how will you know when you have arrived?** A financial goal is something that has a time frame and that can be quantified. An aspiration such as a "comfortable retirement" is hard to plan for. Use the Financial Planner from today's handout to start defining and quantifying your goals. The feedback I have gotten is that it takes 25-30 minutes to complete and serves as a great roadmap on where you want to go, how you want to get there, and any extra effort you need to do to make that happen.

2. **Determine a proper investment allocation.** This is critical. An outgrowth of your financial plan should be a plan for the allocation of your investment assets across all of your accounts. The allocation should reflect the goals you are trying to attain as well as your tolerance for investment risk.

3. **Are you saving enough?** Whether you want to fund your children's college education, save for retirement, or buy a new house, most financial goals mean periodic savings. Use the financial planner as a starting point to identify how much you will need to save periodically – and in total – for each of your goals.

4. **Think about what will happen to your assets upon your death?** Most of us have someone to whom we would like to pass on whatever wealth we have accumulated during our lifetime. Estate planning is a central part of the financial planning process. Do you need a will or a trust? Are your beneficiary designations on retirement accounts and insurance policies up-to-date? What would happen to your assets if you died today? Is this what you intended?

   (Vic: Estate planning is a complicated topic in itself. Please have the respondents contact me offline, or I can do a separate workshop on this topic. In a nutshell – there are essentially three general strategies for reducing estate taxes. A comprehensive estate plan for persons with large estates must incorporate one or more of these strategies.

   - The first strategy is the leveraging of cash gifts through the purchase of life insurance in irrevocable trusts;
   - The next strategy is to use techniques which reduce or shift the value of assets;
   - The final strategy is to implement programs which take advantage of the income, gift and estate tax deductions for transfer to charity)

5. **Are you properly insured?** Do you have enough life insurance, and do you have the right kind of policy for your situation? Do you have disability and long-term care insurance? Do you need this coverage? Cross-reference to your financial planner to validate.

6. **Are you fully using all of the benefits available to you through your employer?** This question addresses issues from health insurance all the way to your retirement plan to any type of stock options or company stock benefit you may have access to. Benefits generally range from 30 percent to 40 percent or more of your cash compensation, so understanding what is available to you and how to best use these benefits is crucial.

7. **Finally, do you need to hire a financial advisor to do all this?** My answer is yes, but I am severely biased. Seriously though – what a good financial advisor will do for you that you cannot do yourself is to take an objective, unemotional look at your situation. He will then apply his expertise, training, and experience to your unique financial needs. One last (biased) suggestion: Always hire a fee-only financial advisor, someone who does not earn a commission based on selling you a financial product. This eliminates a huge conflict of interest. (Vic: I am also listing our

team's brief synopsis and how we approach wealth management professionally below as FYI. This should allow the readers to compare whether they require expertise from someone on the outside, or can manage on their own).

Remember: Financial planning is not an one-time event, but rather an ongoing process. The plan is a base from which to make financial decisions, but the plan can and should change over time based upon changes in your personal circumstances.

The VSB Wealth Management Group at Merrill Lynch

Group Dynamics
The VSB Group consists of Vic Bhatia, Shashi Bhatia, Karin Ulrich-Engel, and Dawn Culver. As the senior members of the group, Vic and Shashi's **focus is on wealth preservation and transfer, gifting techniques, and asset allocation modeling (risk/reward scenarios).** Karin, who has earned the designation of CERTIFIED FINANCIAL PLANNER, compliments the group through her research on equity-related money-managers, mutual funds, and individual issues. She also has an extensive background in fixed-income securities, wealth management planning, and insurance needs and applications. Dawn supports the group through her friendly, methodical attention to client requests, data processing, and administrative functions.

The VSB Group has cultivated an established pool of professional consultants. These **valuable resources ensure our clients receive the highest level of expertise and attention. Resources include estate attorneys, insurance providers, option strategists, private money managers, and corporate trust affiliations.**

Wealth Management Approach

Our Wealth Management approach integrates your objectives into a personalized plan that can be updated as life changes occur. We combine our sophisticated investment planning tools with our professional resources to help match your objectives with customized solutions.

- *Understanding Your Financial Objectives* – We begin by asking questions to understand you and your financial objectives.

- *Determining Smart, Time-Tested Strategies* – Next, we qualify and quantify your financial and personal information to match your objectives with sound strategies.

- *Implementing Thoughtful and Creative Solutions* – Using these strategies, we develop customized solutions tailored to your objectives, drawing from a wide selection of world-class products and services.

- *Providing Timely, Ongoing Service* – We periodically review your situation to help ensure your financial objectives are being met.

Turn Your Clinical Work into Academic Productivity

Ruth M. Kleinpell PhD RN FAAN

Rush University Medical Center Chicago Illinois
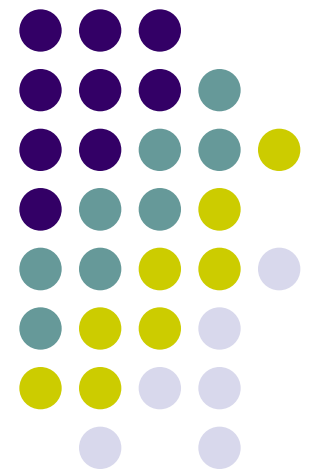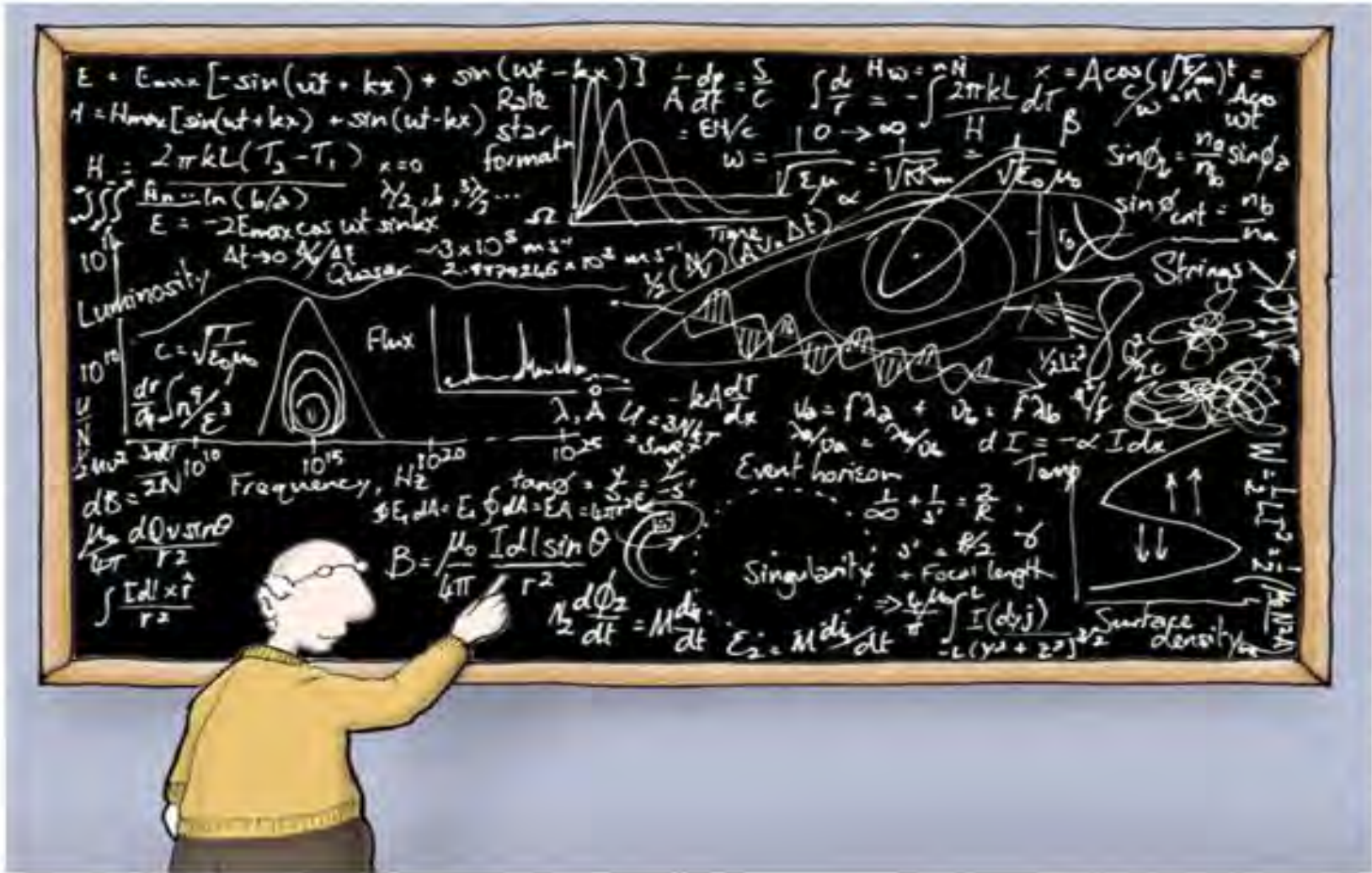
Objectives

- Discuss the process of translating clinical work into academic productivity

- Highlight strategies for maintaining academic productivity

Increase Productivity

Academic Productivity Made Simple

What is "Academic Productivity"?

- It's not just publications or how often they are cited!
  - Presentations
  - Guideline/protocol development
  - Research
  - Grants
  - Leadership roles
  - Community service
  - Professional organization involvement/leadership
  - Teaching evaluations
  - Promotions, and other measures………………

Effects of assessing the productivity of faculty in academic medical centres: a systematic review

Elie A. Akl MD PhD, Joerg J. Meerpohl MD, Dany Raad MD, Giulia Piaggio PhD, Manlio Mattioni MD PhD, Marco G. Paggi MD PhD, Aymone Gurtner PhD, Stefano Mattarocci PhD, Rizwan Tahir MD, Paola Muti MD MSc, Holger J. Schünemann MD PhD

We included studies that assessed academic productivity in clinical, research, teaching and administrative activities, as well as compensation, promotion processes and satisfaction.

Of 531 articles, 9 articles reporting on 8 studies were assessed

Conclusions: Strategies aimed at increasing productivity as part of a compensation scheme appeared to improve productivity in research and possibly improved clinical productivity, but they had no effect in the area of teaching. Higher quality evidence about the benefits and harms of various strategies are needed.
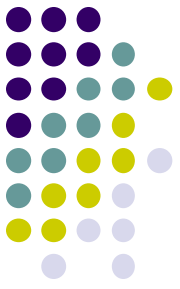
Herzberg's Two Factor Theory

These factors encourage motivation

Positive motivation

Negative motivation

Achievement
Recognition
Work itself
Responsibility

Advancement
Company
Salary
Working conditions

These factors discourage motivation

Frederick Herzberg
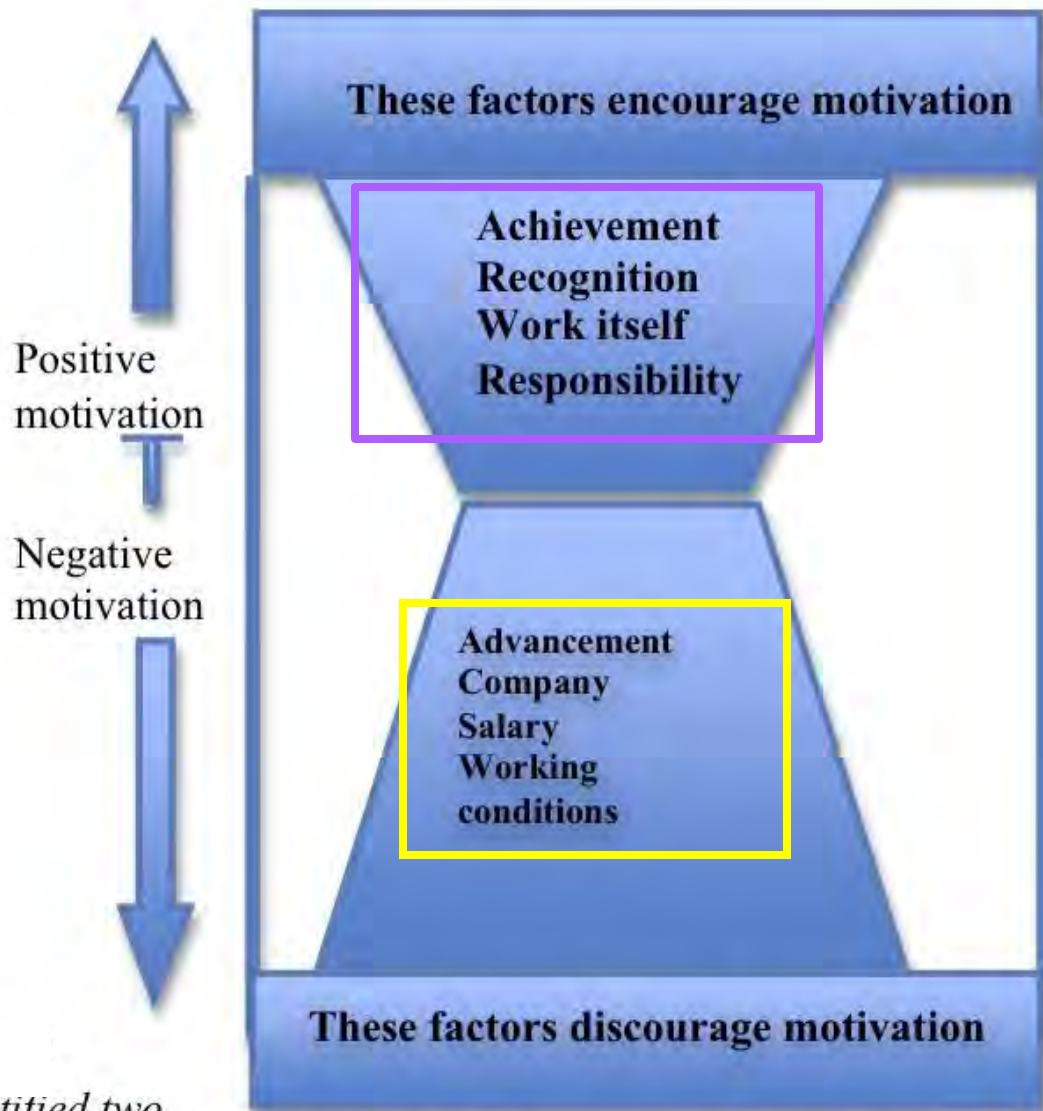
identified two categories of human needs. Those things that tended to make people unhappy with their jobs resulted in negative motivation. Those things that made people feel good about their jobs could lead to positive motivation
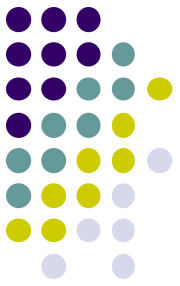
Strategies for transitioning clinical work into Academic productivity

- **Identifying, developing, and implementing projects**
  - Identify current initiatives that can be formulated into research/publishing projects, or presentations
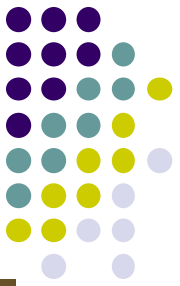 - Develop projects that target established indicators

The clinical setting holds an unlimited number of opportunities for advancing academic productivity
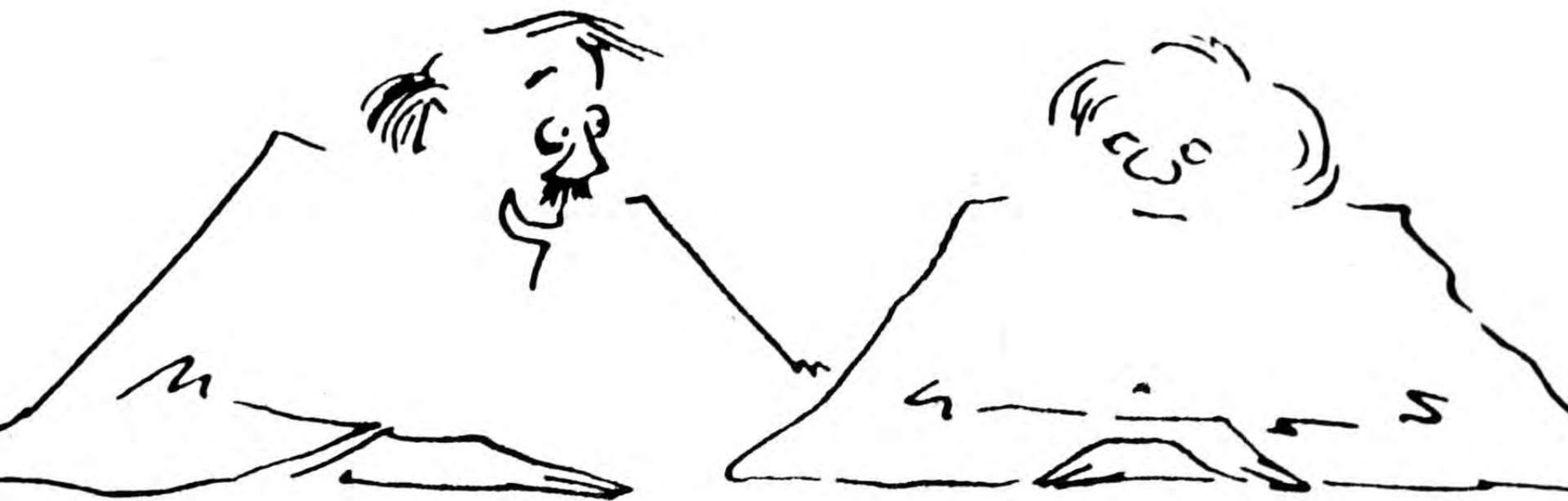
"What I'm suggesting is a research partnership.
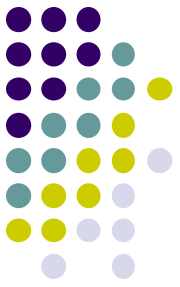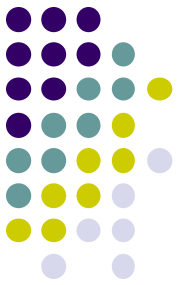I'll think up the bright ideas, and you'll do the research."

Hand Hygiene Campaign

◊ **Information Boards**
◊ **Posters**
◊ **Screen Saver**
◊ **Weekly emails – "thought of the week"**

Weekly Thought: Hand Hygiene Remains the Number One Way To Reduce the Spread of Infection

Weekly Thought: Maximal barrier precautions have been demonstrated to decrease the risk of developing catheter-related bloodstream infections.

It is an expectation that maximal barrier precautions will be used on all central line insertions in the SICU – nurses have the authority to stop the procedure if barrier precautions are not used.

Antisepsis is not only for the operating room. Protect our patients on the nursing units, too. Clean your hands.

EPIC PLAYGROUND ID = ctxplay22

Hand Hygiene Compliance

Legend:
- HH after patient contact
- HH after Isolation Room

X-axis: Jan-June 08, July-Dec 08, Jan-June 09, July-Dec 09

Y-axis: 50% to 100% (in 5% increments)
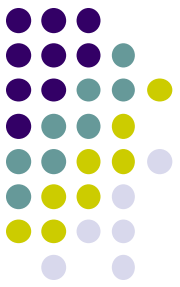
Initial Challenges

- Learning to talk about your work and interests
- Finding important questions
- Choose project/study strategies that are:
    - Feasible
    - Valid
    - Of interest to clinicians/researchers
- Finding time in your already busy schedule

Strategies for Productivity

- Organize your time
- Organize your workspace
  - Invest in making your work-space a comfortable, productive area
    - Consider an ergonomic office chair
    - Consider a high-quality ergonomic keyboard
- Decorate your work-space - Make it an enjoyable place to be
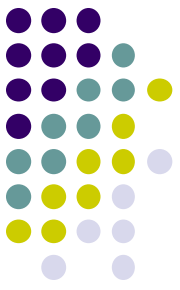
Strategies

- Take advantage of "how-to" workshops, peer coaching, and mentoring programs

- Attend "lunch-and-learn" sessions to hear the stories of others and their "lessons learned"

- Consider attending writing workshops, clinical research sessions, IRB update sessions

Rush University Mobility "MOVE "Project - <u>M</u>aking Steps to Rec<u>OVE</u>ry

RUMC Mobility Taskforce: Ruth Kleinpell, Diane Genaze, Melinda Noonan, Lynn Richter, Melissa Browning, Barbara Gulczynski, Barbara Hinch, Valerie Klans, Patricia Nedved
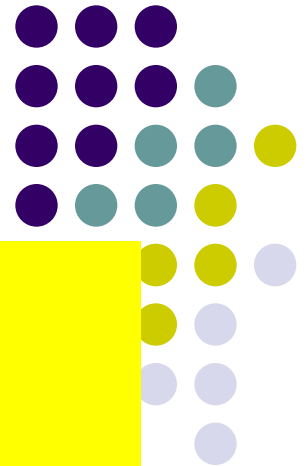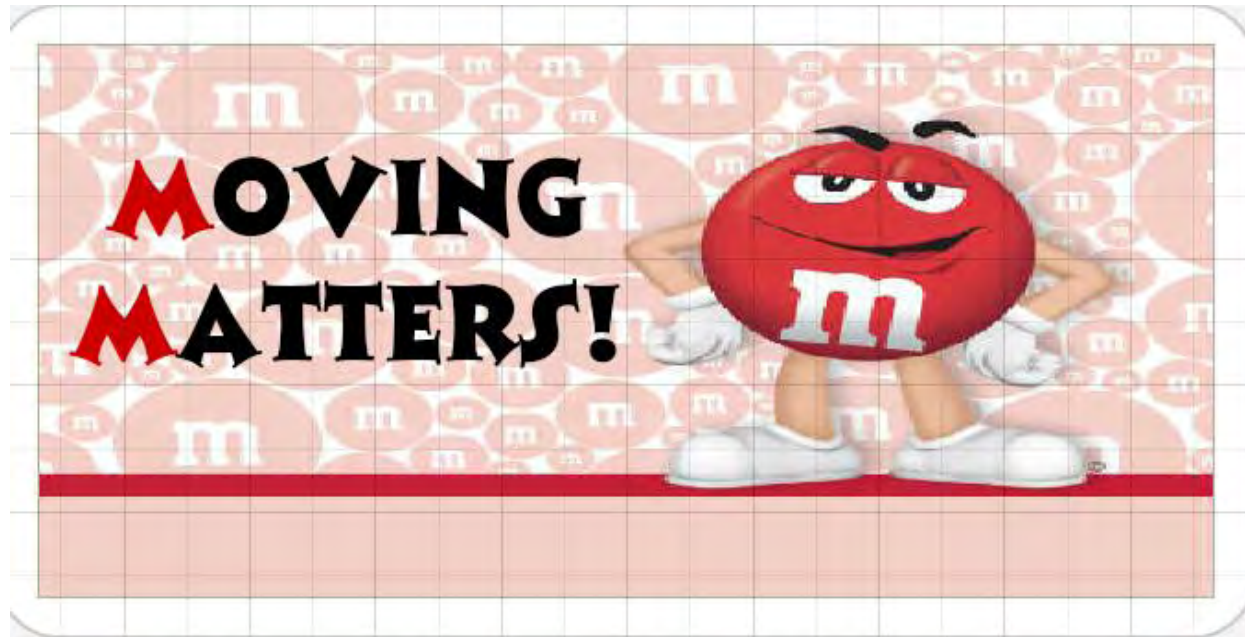
MOVE Project

Making Steps to Rec**OVE**ry through Mobility

Project Overview

- Pilot Project 7N/7S Summer 2012
- Led by GEM students

Move More

Improve More

Recover Faster

Visual Mobility Reminders
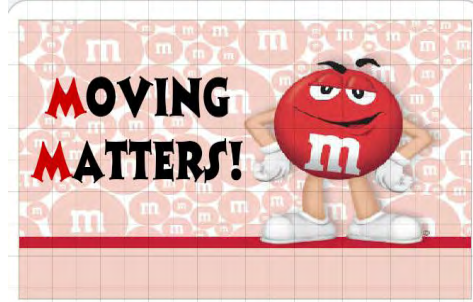
Goal:

- Each day create moving goals with your nurse

Plan:

- Work each day to meet your goals….. Can you make the next goal up?

- Get out of bed and move or walk around as much as possible

- Ask for help if you feel unsafe

Outcome:

- Get stronger, feel better - GO HOME SOONER!!

Results: ICU
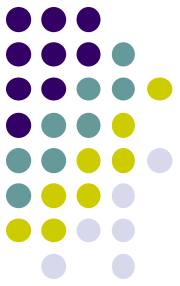
	PREdata	POSTdata
PROM	3 (7.9%)	45 (20.0%)
AROM	21 (55.5%)	209 (92.9%)
Repositions Self	3 (7.9%)	126 (55.6%)
ADLs	2 (5.3%)	140 (62.2%)
Chair Position	5 (13.2%)	50 (22.2%)
OOB to Chair	4 (10.5%)	165 (73.3%)
Sit at Bedside	3 (7.9%)	135 (60.0%)
Stand at Bedside	3 (7.9%)	70 (31.1%)
Ambulate w/ Assist	13 (34.2%)	141 (62.7%)
Ambulated Independently	3 (5.3%)	26 (11.6%)

Increased Mobility

Activity & Mobility Scores
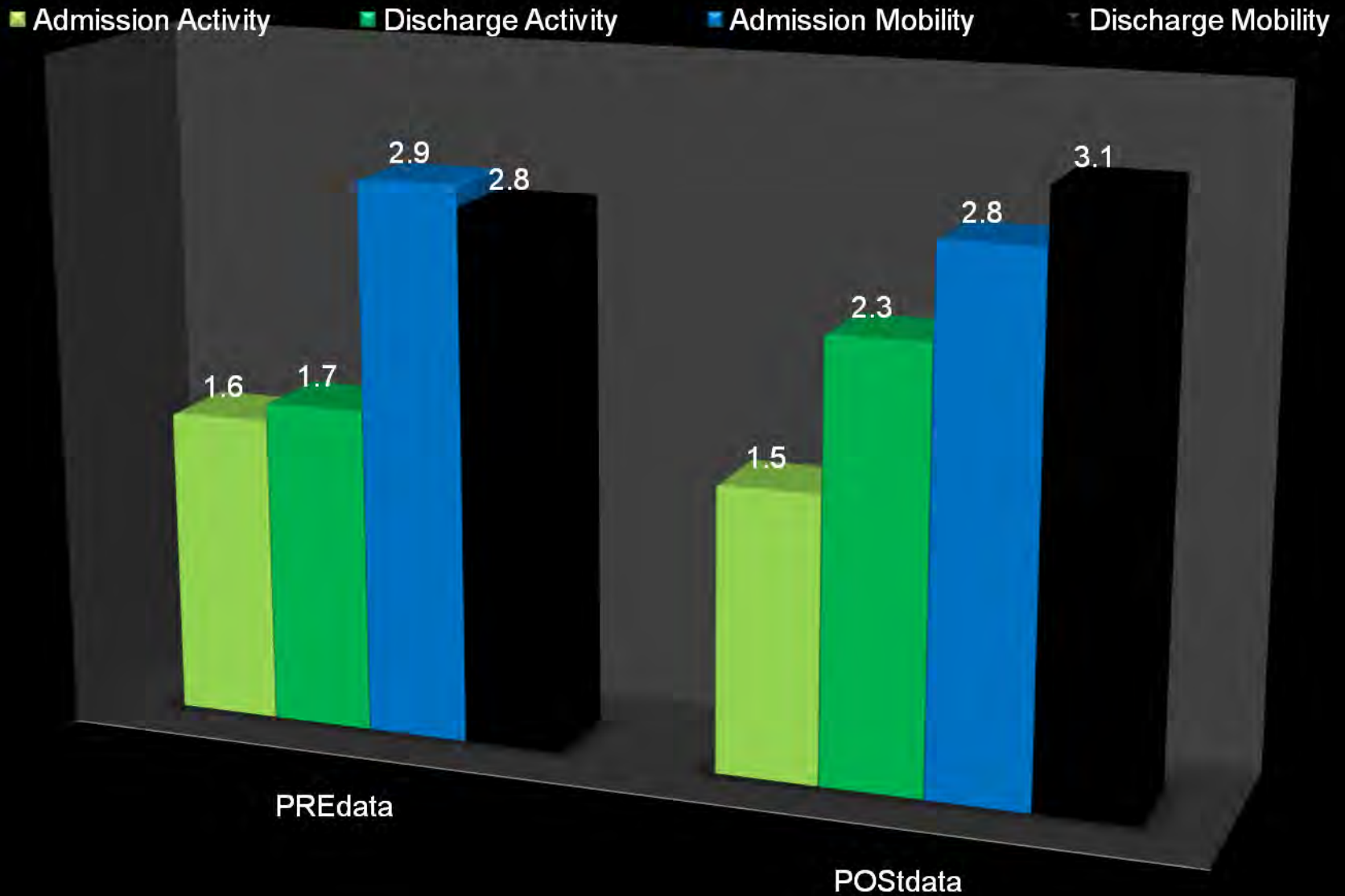
NEXT STEPS

- Engage other ICU/unit nursing staff to implement early mobility as a daily care goal

- Develop a divisional/hospital policy on early mobilization of hospitalized patients
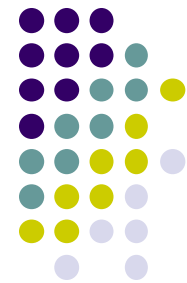
Promoting the Journey to Evidence Based Practice and Research

"Journey" Project"   JOURNal rEcYcling Project

the Journals of
gerontology

series **a** BIOLOGICAL SCIENCES

Rafael de Cabo, PhD, Editor

AND

MEDICAL SCIENCES

Stephen Kritchevsky, PhD, Editor

VOLUME 68A • NUMBER 8

AUGUST 2013

The Gerontological Society

of America

OXFORD OPEN

OXFORD
UNIVERSITY PRESS

THE **GERONTOLOGICAL**
SOCIETY OF AMERICA
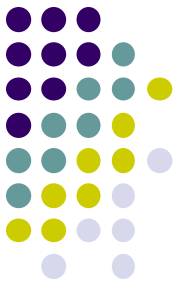
- Wednesday, 27 March 2013

Congratulations,
The abstract you submitted for 42nd Biennial Convention (16 November - 20 November 2013), "Journal (Recycling) Project: Promoting the Journey to Evidence Based Practice & Research", has been selected for an Oral presentation.

Getting Started: Local Opportunities

- Hospital Clinical Conference/Research Days
- Area Clinical/Research Symposia
- Organizations that are hosting annual conferences in Chicago

Publications/Presentations

- Posters
- Posters with published abstracts
- Posters with oral presentation
- Seminars
- Review articles
- Publications of your original work
  - Clinical projects
  - Committee work experiences
  - Case studies
  - Research studies

Example Dissemination Pathway

- Present a work-in-progress
- Complete initial phase of project
- Submit poster to a local meeting
- Consider need for additional work
- Submit presentation for a regional or national meeting
- Submit to peer-reviewed journal
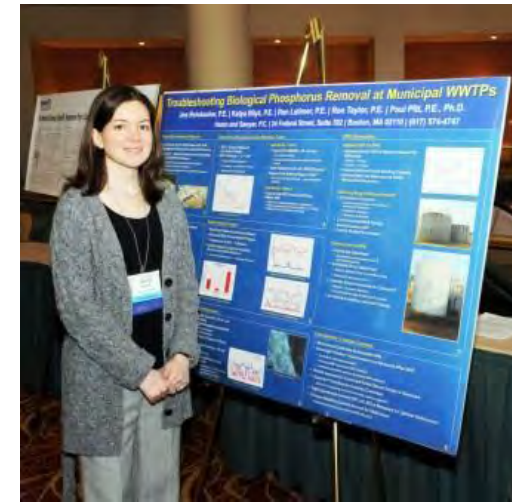
The Value of Professional Networking
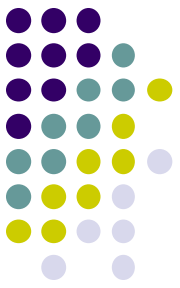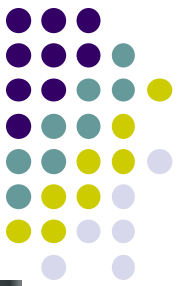
Research Team
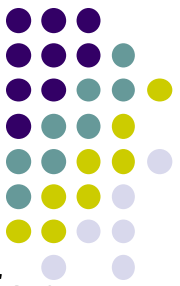
- ***Ruth Kleinpell PhD RN FAAN,*** Director of the Center for Clinical Research at Rush University Medical Center
- ***Connie Barden RN MSN CCRN-E CCNS,*** Clinical Nurse Specialist of the e-ICU at Baptist Health South Florida
- ***Mary McCarthy RN BSN,*** Nurse Manager of the Virtual ICU of Eastern Maine Medical Center
- ***Teresa Rincon RN BSN CCRN-E,*** e-ICU Nurse Director of Sutter Health Sacramento-Sierra Region
- ***Rebecca J. Zapatochny Rufo DNSc RN CCRN,*** Resurrection Health Care eICU Program Operations Director
- ***Shawn Cody, MSN/MBA, RN*** is currently the Associate Chief Nursing Officer, UMass Memorial Medical Center

AMERICAN ASSOCIATION of CRITICAL-CARE NURSES

American Association of Critical-Care Nurses awards first $50,000 Impact Research Grant

Ruth Kleinpell, Rush University Medical Center, Chicago, receives AACN grant to conduct benchmark research about the impact of telemedicine on ICU nursing care

AACN Impact Research Grants fund projects that address gaps in clinical bedside research to support clinical inquiry and drive change in high acuity and critical care nursing practice

ALISO VIEJO, Calif. – Feb. 7, 2011 – The American Association of Critical-Care Nurses (AACN) recently awarded its first $50,000 AACN Impact Research Grant to Ruth Kleinpell, PhD, RN-CS, FAAN, director, Center for Clinical Research, Rush University Medical Center, Chicago, and professor, Rush University College of Nursing.

Kleinpell will explore the impact of telemedicine on ICU nursing care with co-investigators from Sutter Health, Sacramento-Sierra region, Calif.; Baptist Health South Florida, Miami; Resurrection Health Care, Chicago; UMass Memorial Medical Center, Worcester; and Eastern Maine Medical Center, Bangor. They will conduct a two-phase study that includes national benchmarking of a random sample of 350 nurses who work in tele-ICUs to identify the impact of telemedicine on nursing care, including barriers and benefits.
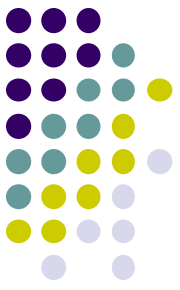
Phase 1

- An online survey was developed to assess nurses' perceptions of the impact of ICU telemedicine on nursing care and identifying priority areas of tele-ICU nursing.

N=1213 respondents
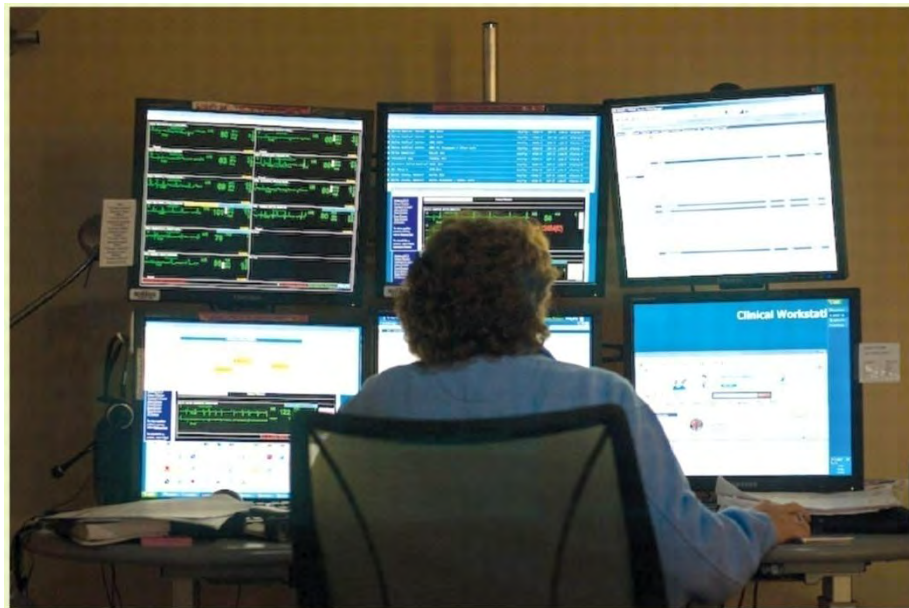
Respondents represented 17 US States, all US Regions
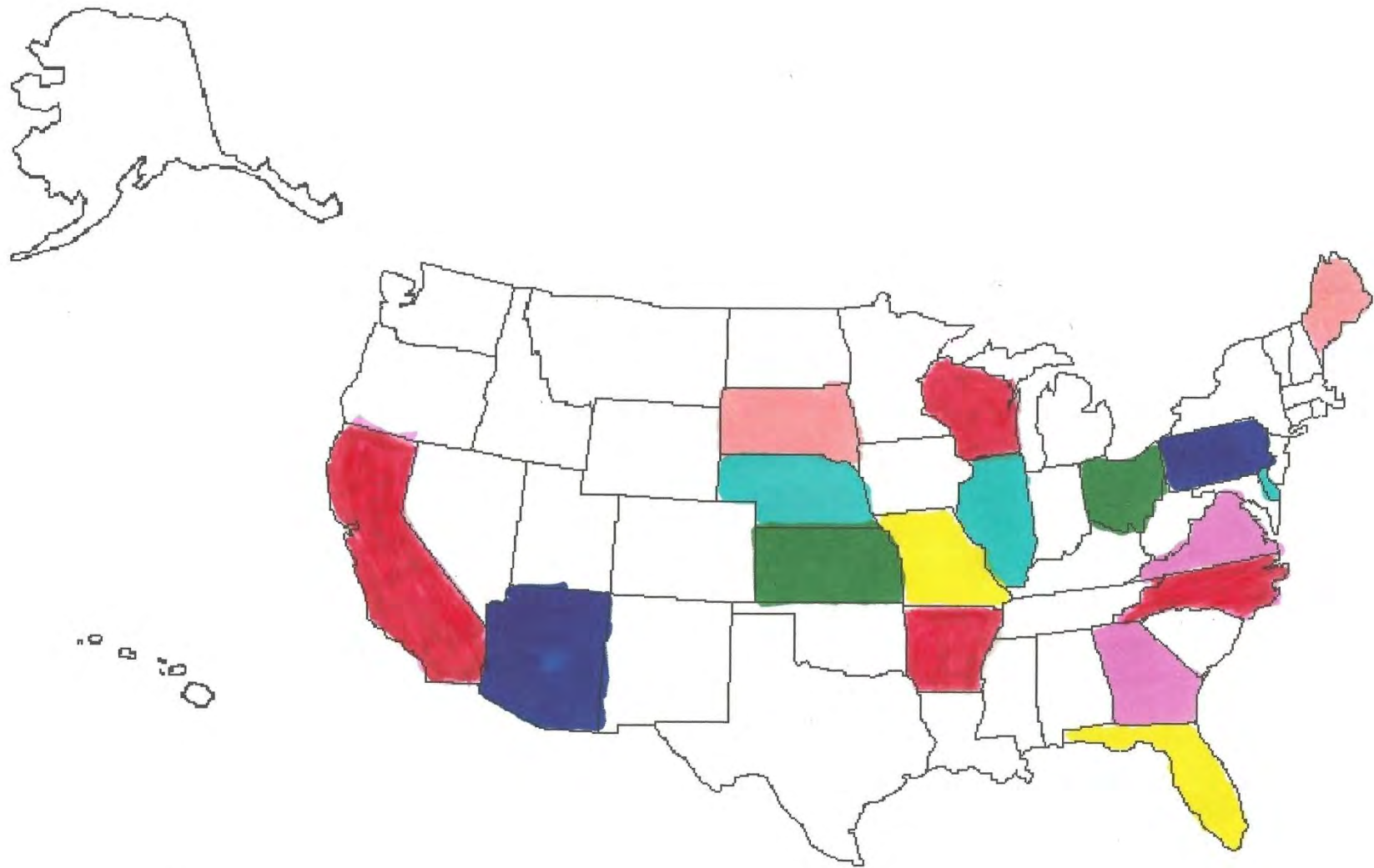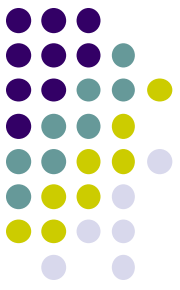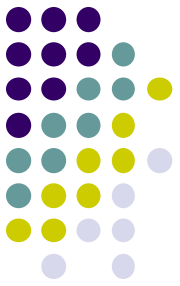
Project Outcomes

- Oral presentation, American Association of Critical Care Nurses national conference May 2012, Orlando FL

- Oral presentation, American Association of Critical Care Nurses national conference May, 2013, Boston MA

- Manuscript in preparation
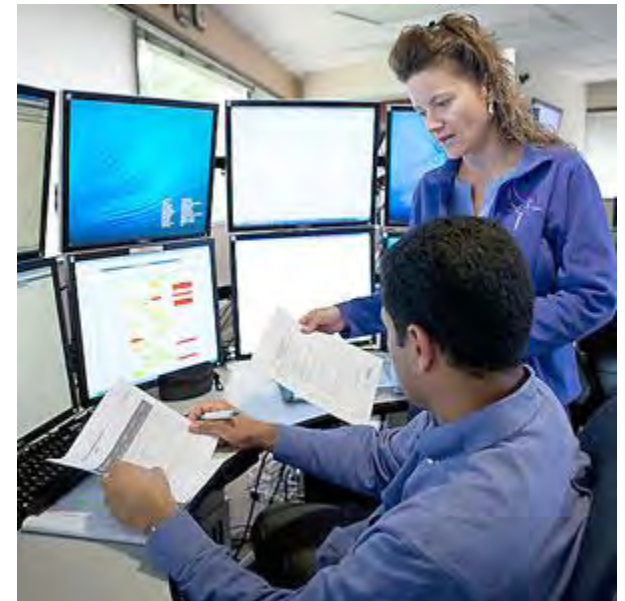
The Value of Professional Organization Involvement

Nurse practitioners and physician assistants in the intensive care unit: An evidence-based review

Ruth M. Kleinpell, PhD, RN, ACNP, FCCM; E. Wesley Ely, MD, MPH, FCCM;
Robert Grabenkort, PA, MMSc, FCCM

- Systematic literature review of NP and PA roles in ICU
  - 145 articles were reviewed of which 31 were research based

Clarifying Roles of Advanced Practice Providers in the ICU

October 18, 2011 | SCCM WEBCAST SERIES

Presenters

Ruth M. Kleinpell, RN, PhD, FCCM, RN-CS
Director of the Center for Clinical Research
and Scholarship
Rush University Medical Center
Chicago, Illinois, USA

Lauren Sorce, RN, MSN, FCCM
Pediatric Nurse Practitioner
Children's Memorial Hospital
Chicago, Illinois, USA

W. Robert Grabenkort, PA, MMSc, FCCM
Physician Assistant
Emory University Hospital
Atlanta

Take Advantage of New Opportunities

Faculty and Administration

ACUTE CARE NURSE PRACTITIONER PRACTICE:
RESULTS OF A 5-YEAR LONGITUDINAL STUDY

By Ruth M. Kleinpell, RN-CS, PhD, ACNP. From Rush University College of Nursing and Our Lady of the
Resurrection Medical Center, Chicago, Ill.

5 year study of 437 NPs certified in acute care working in ICU and acute care settings

APN Impact on Outcomes

Degree of Impact 0=Low 5= High

Outcome Measure

↓ LOS ↓ Health care costs ↓ Readmission rates ↑ Best practice adherence

Kleinpell R. Am J Crit Care 2005; 14:211-219

APN Impact on Outcomes

Degree of Impact 0=Low 5=High

Outcome Measure

Improve medical mgmt — ↓ Complications — ↓ Resource utilization — ↑ Continuity of care

Kleinpell R. Am J Crit Care 2005; 14:211-219

APN Impact on Outcomes

Kleinpell R. Am J Crit Care 2005; 14:211-219

Percent Measuring Outcome

Chart showing percentages for five outcomes:
- ↓ LOS: ~25%
- ↓ Health care costs: ~21%
- ↓ Readmission rates: ~23%
- ↑ Best practice adherence: ~17%
- Improve medical mgmt: ~18%

Kleinpell R. Am J Crit Care 2005; 14:211-219

Percent Measuring Outcome

Kleinpell R. Am J Crit Care 2005; 14:211-219

Percent Measuring Outcome

Kleinpell R. Am J Crit Care 2005; 14:211-219

Practice Issues
for the Acute Care
Nurse Practitioner

Ruth M. Kleinpell
Mariann R. Piano
Editors

Springer Series on
Advanced Practice Nursing
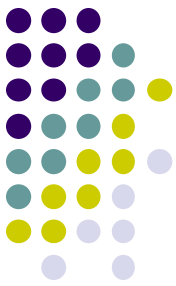
Assessing Outcomes in Advanced Practice Nursing Practice

The Use of Quality Indicators and Evidence-based Practice

Ruth Kleinpell, PhD, RN, ACNP, FAAN;
Anna Gawlinski, DNSc, RN, ACNP, FAAN

Advanced practice nurses (APNs) impact both patient care and healthcare systems on a daily basis. Tracking and documenting the outcomes of APN practice have become essential, due partly to the emphasis on outcomes that has become a component of the majority of healthcare initiatives. This article outlines important aspects related to assessing outcomes and discusses the use of quality indicators to demonstrate outcomes of APN practice. Examples from clinical practice are provided in order to demonstrate that assessing the outcomes of APN practice can be incorporated into daily practice as part of ongoing initiatives.

Productivity boosts from various activities

Productivity boost

ROCKS!

Helps

Tracking your time | Better todo-lists | Structured calendar | Prioritizing your tasks | Being happy at work

http://positivesharing.com/wp-content/uploads/2007/03/productivity1.jpg
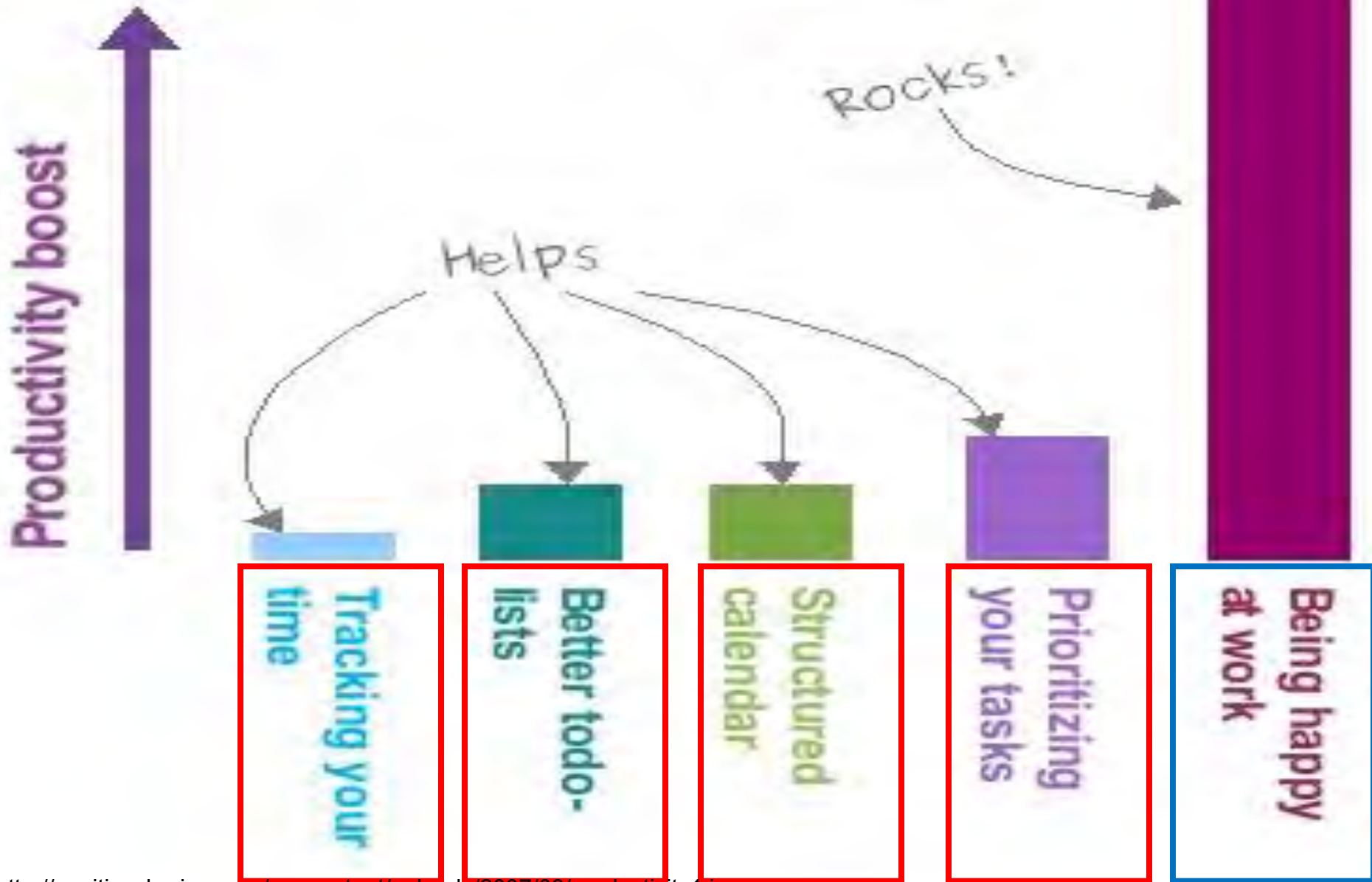
It's OK to Seek Out Awards and Accolades!
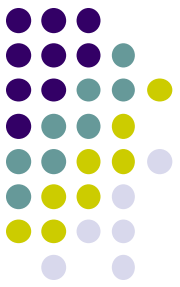
Ruth Kleinpell, PhD, RN, FAAN, FCCM, FAANP

Congratulations to Dr. Ruth Kleinpell who received the 2010 National Organization of Nurse Practitioners Research Award at the NONPF annual conference held in April 2010.

2011 Sigma Theta Tau International Practice Academe Award

30 January 2012

Ruth Kleinpell, PhD, RN, FAAN
Professor & Director of the Center for Clinical Research and Scholarship
Rush University College of Nursing
330 W Diversey Pkwy
Apt 2702
Chicago, IL 60657-6209
USA

Dear Ruth,

Congratulations! We are pleased to notify you that you have been selected as an inductee into the International Nurse Researcher Hall of Fame. You will be recognized during Sigma Theta Tau International's 23rd International Nursing Research Congress, 30 July - 3 August 2012, in Brisbane, Australia.

You are among 14 Sigma Theta Tau International (STTI) members who were selected by judges. For your lifetime achievements in and contributions to research and to mentoring future nurse researchers, STTI is honored to recognize you.

RUSH UNIVERSITY
COLLEGE OF NURSING
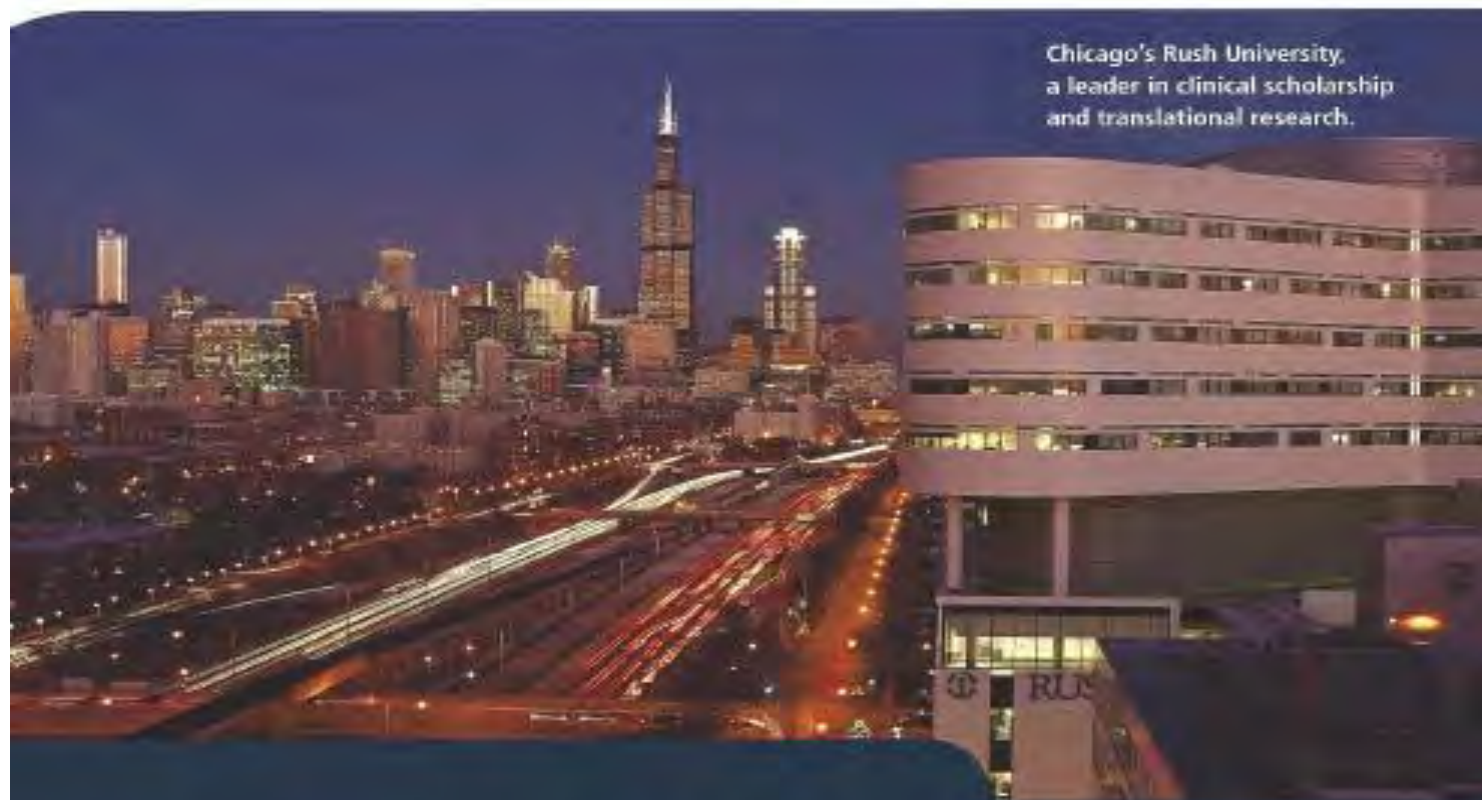
Chicago's Rush University, a leader in clinical scholarship and translational research.

2012 REVIEW OF RESEARCH & SCHOLARSHIP

Inside this Report:

CAPEable PCORI Grant

Publications & Funded Grants

Researcher on the Rise, Susan Breitenstein

Hall of Fame Inductee, Ruth Kleinpell

RUTH KLEINPELL INDUCTED INTO THE INTERNATIONAL NURSE RESEARCHER HALL OF FAME

In 2012, Ruth Kleinpell, PhD, RN, FAAN, was one of fourteen esteemed nurse researchers inducted into the International Nurse Researcher Hall of Fame. Presented in August during Sigma Theta Tau International's 23rd International Nursing Research Congress in Brisbane, Australia, the prestigious award honors nurse researchers from around the world "who have achieved significant and sustained national and international recognition for their work and whose research has impacted the profession and the people it serves".

Kleinpell is a professor at Rush University College of Nursing and serves as Director of the Center for Clinical Research and Scholarship where she oversees a number of clinical research projects at Rush University Medical Center.

international research recognition in several areas of focus and has, to date, disseminated that knowledge through 98

and Critical Care initiatives to develop a web-based course to improve nursing competencies. The course, entitled "Best Practices for Elder Care" (http://aacn.org/eldercare) has been completed by over 4000 clinicians, with over 20,000 site visits since its launch in November 2010.

In addition to her role as researcher and professor at Rush, Kleinpell is a certified acute care nurse practitioner (ACNP) and maintains an active practice in Chicago. Kleinpell has had significant influence in advancing the development of the ACNP role. Through a five year longitudinal survey of over 400 ACNPs funded by the American Nurses Association and the American Association of Critical Care Nurses, her research and resulting publications have

CLEVER

Work Smarter, Not Harder

WORK SMARTER

Not Harder

DEAR MOM I NO THAT DOING RESHEARCH
IS HARD WORK. I NO Y DONT YOU
TAKE A BREAK AND GO DO SOMETHING
FUN! LOVE HORACE.

Horace, age 6, 7-03

Building and Managing Your Research

Teaching Academy Workshop / Seminar
September 17, 2013

Mary Jane Welch, DNP, APRN, BC, CIP
Director, Human Subjects' Protection
Associate Professor
Community, Systems and Mental Health Nursing
Rush University Medical Center

Objectives

- Briefly review regulations that control human subject research (Big topic, different talk)
- Discuss available tools
- What an IRB must consider
- How to manage research and develop a research program

In the Beginning

- So you want to conduct human subject research at Rush...
  - Education (www.citiprogram.org)
  - Rush Research Portal (RRP) training
    - Every Friday at 11:00 AM
    - Annex Building, Lower Level
    - Antonio Demarco (2-5097) to arrange

Next, Is This Research?

- For a project to be considered research and be subject to the regulatory authority of 45 CFR 46 and 21 CFR 50, two basic elements must be present:
  - *The project must involve a systematic investigation which usually includes development, design, hypothesis testing and evaluation or outcome measures, **AND***

Next, Is This Research?

- For a project to be considered research and be subject to the regulatory authority of 45 CFR 46 and 21 CFR 50, two basic elements must be present:

    - *The intent of the project must be to develop and contribute to generalizable knowledge*

Then, Is It Human Subject Research?

- Office of Human Research Protections 45 CFR 46.102(c)(f)
    - Is this a *living* individual about whom an investigator conducting research obtains:
    - *Data through intervention or interaction with an individual,* **OR**
    - *Identifiable private information*

Then, Is It Human Subject Research?
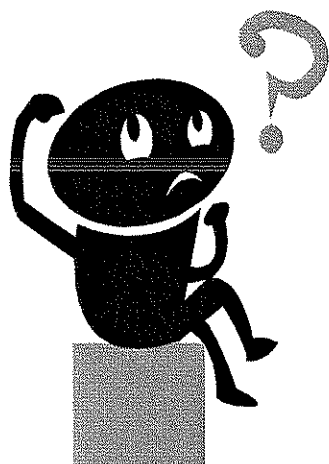
- Food and Drug Administration 21 CFR 50.3(g)
  - A human subject is an individual who is or becomes a participant in research, either as a recipient of the test article or as a control

  - A subject may be either a healthy human or a patient

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Do I have to apply to the Rush IRB?
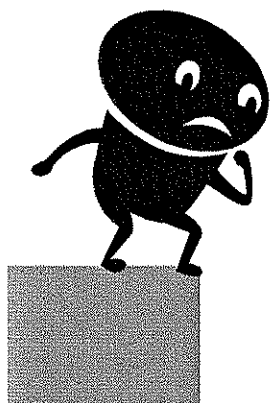
If *any* of the following four conditions applies, a complete research protocol, all related sponsorship application materials, all related contracts and IRB paperwork must be submitted to the Research & Clinical Trials Administration Office (RCTA), regardless of the location where the research activity takes place (RA-IRB-100)

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Do I have to apply to the Rush IRB?
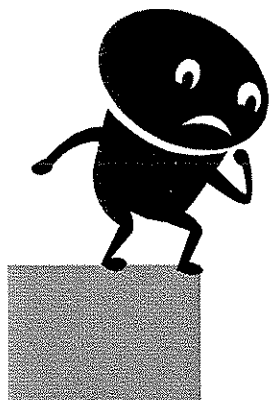
- The research takes place on any real property owned or leased by Rush, including leased professional office space

- The research activities are to be undertaken by a PI employed by Rush for twenty or more hours per week
  - Medical Service Plan (MSP) providers are considered employees of Rush in every case.

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Do I have to apply to the Rush IRB?
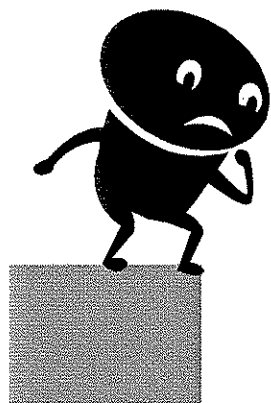
- The research activities are to be undertaken by a PI employed by Rush fewer than 20 hours per week throughout the duration of the study, but:
  - the research activity is an explicit component of the part-time employee's job description at Rush
  - the part-time employee identifies him/herself as Rush faculty, staff member, fellow, or employee in publications or presentations of the research work

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Do I have to apply to the Rush IRB?
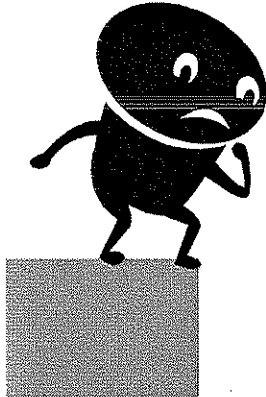
- The research activities proposed are to be undertaken by a Principal Investigator who is a student of any undergraduate or graduate program of this Medical Center

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IRB Mission
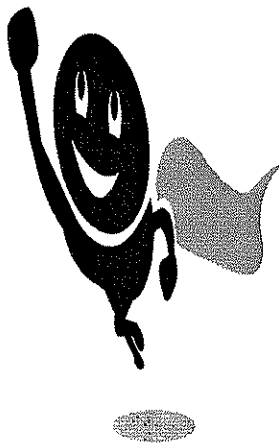
- To protect the rights and welfare of research subjects

  - Ensures that the benefits are reasonable in relation to the risks

  - Ensures the consent process is appropriate

  - Reviews and approves, or requests modifications (minor or significant), or disapproves research protocols

  - Reviews amendments, and continuing projects

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Vulnerable Subjects
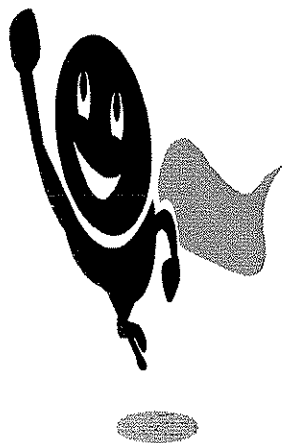
- Children (Subpart D)
- Pregnant Women, Fetuses, Non-Viable / Uncertain Viability Neonates (Subpart B)
- Prisoners (Subpart C)

- Cognitively Impaired Persons
- Economically or Educationally disadvantaged Persons

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Rush Institutional Review Board
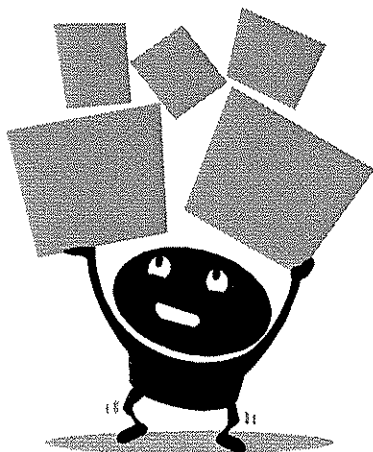
- Rush has two Full Boards; each meets weekly

- Research oversight:
  - Full board review
    - Greater than minimal risk
  - Expedited review
    - No more than minimal risk
    - Specific categories
  - Exempt review
    - No more than minimal risk
    - Specific categories
    - Does not mean study is exempt from review

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Tools to Assist IRB Review
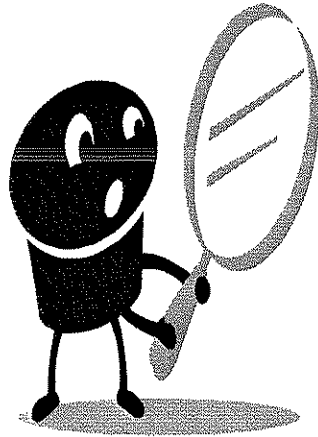
- Avoiding Delays (Handout)
  - **Review** prior to submission
- Rush Consent Template (RRP Home Page)
- Rush Terminology List (RRP Home Page)
- Research Policies & Procedures (Research at Rush, RRP Home Page & Rush P&P Page

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9/17/2013

Most Important Before Submission

Read through the entire application prior to submission. Make sure all typographical errors are corrected and any cut and paste operations are complete and flow with the document. The proposal should read like a story. The study summary should be concise and in language that the community member and the non-scientist members are able to understand. If they are not able to understand the project, neither will the subjects. Have someone else NOT involved in the project read through the consent form. Ask them to explain the research back to you. Remember it should be at a sixth to eighth grade reading level.

Mom Statement

If they are not able to explain the study, how will the participants?

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IRB Reviewed not IRB Approved
RA-IRB-118

O Research only involving use/analysis of deceased individuals' information or specimens (cadaveric studies).

O Course-related activities designated specifically for educational or teaching purposes, where data is collected from and about human subjects as part of a class exercise or assignment but are not intended for use outside of the classroom (not intended to develop or contribute to generalizable knowledge).

O Case report(s) involving the observation of a patient or patients whose novel condition or response to treatment was guided by the care provider's judgment regarding the best interest of the individual and no comparison of data is taking place. Please note that Rush HIPAA policies must be followed.

O Collection of data with the sole purpose to conduct a quality improvement/quality assurance project for internal use only. This also applies to students of Rush University who are employed at another medical center, when the work is part of their class requirements and the employer institution has certified the activities do not constitute human subjects research.

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9

HIPAA as a Helper?

(a) Names;
(b) All geographic subdivisions smaller than a State, including street address, city, county, precinct, zip code, and their equivalent geocodes, except for the initial three digits of a zip code if, according to the current publicly available data from the Bureau of the Census:
    (1) The geographic unit formed by combining all zip codes with the same three initial digits contains more than 20,000 people; and
    (2) The initial three digits of a zip code for all such geographic units containing 20,000 or fewer people is changed to 000.
(c) All elements of dates (except year) for dates directly related to an individual, including, for example, birth date, admission date, discharge date, and date of death;
(d) All ages over 89 and all elements of dates (including year) indicative of such age, except that such ages and elements may be aggregated into a single category of age 90 or older;
(e) Telephone and fax numbers;
(f) Electronic mail addresses (email addresses);
(g) Social security numbers;
(h) Medical record numbers;
(i) Health plan beneficiary numbers;
(j) Account numbers;
(k) Certificate/license numbers;
(l) Vehicle identifiers and serial numbers, including license plate numbers;
(m) Device identifiers and serial numbers;
(n) Web Universal Resource Locators (URLs) and Internet Protocol (IP address numbers);
(o) Biometric identifiers, including finger and voice prints;
(p) Full face photographic images and any comparable images; and
(q) Any other unique identifying number, characteristic, or code (note: this does not mean the unique code assigned by the investigator) copyright Mary Jane Strong 3/5/12

You Are AAHRPP Accredited

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Ask for Help

- RCTA Contact Sheet (Handout)
- Prescheduled Consultations
- Research Listserve
- RCTA Hotline
- Email
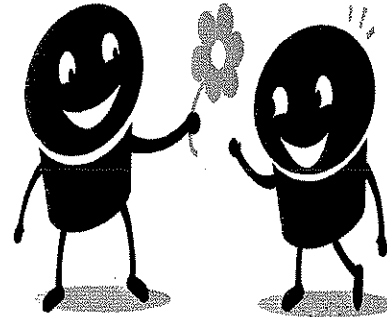
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You Are Approved!!!!
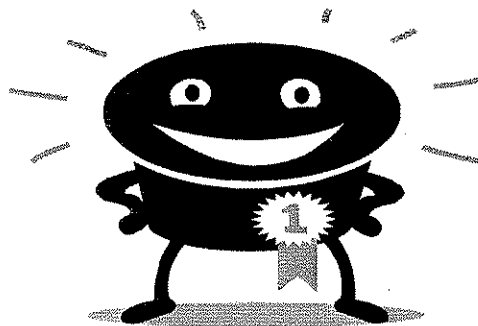
Of course now the real work begins…

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So Now I Am Ready, What's Next

- Accountability
- Gather
- Integrate
- Organize
- Systematize

PI = Accountable
Form 1572 – Statement of Investigator

9. COMMITMENTS

I agree to conduct the study(ies) in accordance with the relevant, current protocol(s) and will only make changes in a protocol after notifying the sponsor, except when necessary to protect the safety, rights, or welfare of subjects.

I agree to personally conduct or supervise the described investigation(s)

I agree to inform any patients, or any persons used as controls, that the drugs are being used for investigational purposes and I will ensure that the requirements relating to obtaining informed consent in 21 CFR Part 50 and institutional review board (IRB) review and approval in 21 CFR Part 56 are met.

I agree to report to the sponsor adverse experiences that occur in the course of the investigation(s) in accordance with 21 CFR 312.64. I have read and understand the information in the investigator's brochure, including the potential risks and side effects of the drug.

I agree to ensure that all associates, colleagues, and employees assisting in the conduct of the study(ies) are informed about their obligations in meeting the above commitments.

I agree to maintain adequate and accurate records in accordance with 21 CFR 312.62 and to make those records available for inspection in accordance with 21 CFR 312.68.

I will ensure that an IRB that complies with the requirements of 21 CFR Part 56 will be responsible for the initial and continuing review and approval of the clinical investigation. I also agree to promptly report to the IRB all changes in the research activity and all unanticipated problems involving risks to human subjects or others. Additionally, I will not make any changes in the research without IRB approval, except where necessary to eliminate apparent immediate hazards to human subjects.

I agree to comply with all other requirements regarding the obligations of clinical investigators and all other pertinent requirements in 21 CFR Part 312.

Gather All Study Information

- Have consistent location for regulatory documents, files, SOPs and closed records
- Identify a location for very quick access to important open study information (brief)
- Know what is different about each study
- Always remain flexible
- Do not be afraid to say no to a study; the sponsor will appreciate your honesty

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Integrate Everything Possible

- Create a Recruitment Registry
- Piggyback Multiple Studies
- Develop an Admission Protocol
- Build New studies from Previous Studies
- Do not Overcomplicate Protocols
- K.I.S.S.

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Organize = Regulatory Binder

- Label the outside of the organizer with the protocol name and number, PI name, and study site number
- Each study should have an individual regulatory binder and the site may have a master binder
- Everything should be filed in chronological order, with the newest in front.

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Systematize Everything

- Insist on weekly team meetings
- Document
- Insist on documentation templates / scripts
- Insist on being notified of every adverse event occurrence and you determine the significance
- Delegate; but with oversight

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Team Note

Date:

Present:

Research Studies:

 Discussion:

Plan:

Patient agrees to plan?   ( )Yes   ( ) No
    Comment:_____

Patient able to provide informed consent?

( )Yes   ( ) No Comment:_____

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Consent Note Template

Date:
This writer met with the patient to complete an informed consent for the
_____study, protocol number _____.
Patient expressed an understanding of:
•The purpose of the study
•Effects and side effects
•Possible risks
_____
•Patient was given the opportunity to ask questions, all of which
were answered to his satisfaction.
•Emergency phone numbers were provided to the patient
•Patient agreed to participate and signed the ICF and HIPAA.
•No study procedures were performed prior to obtaining consent.
•The patient was provided with a copy of the signed consent form
Signature:_____

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Consent Script

INSERT TITLE & ORA#

___Subject has been assessed to have capacity to consent

State to Subject:
• CUT FROM PROTOCOL APPLICATION

Review the entire consent form with the subject, allowing time for questions from the subject or

Allow subject to review overnight or have family members present

Before the subject signs the consent ask:
•CUT FROM PROTOCOL APPLICATION
I have reviewed the study with the subject and asked the above questions.

The subject demonstrated understanding of what was being asked and agreed to participate.

_____

Signature   Date

Comments: copyright Mary Jane Strong 3/5/12

Questions

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RUSH UNIVERSITY MEDICAL CENTER

AVOIDING DELAYS IN THE RESEARCH APPLICATION PROCESS
WITHIN THE RUSH RESEARCH PORTAL (RRP)

The following are tips for avoiding delays in the research application process at Rush University Medical Center, Rush Research Portal:

➢ **Allow enough time for each step of the research application process.** For example, base the length of time on the processes required. Especially allow enough time for continuing reviews. Do not allow your study to expire.

➢ **Submit all the required forms for Confidential Disclosure Agreements (CDA) and Coverage Analysis in the RRP as soon as you receive them.**

➢ **Fill out all applicable sections in the RRP completely and as instructed.** For example, you are sent to the next appropriate section based on your answers. If you do not answer you either will not be able to go forward, or will have to go through questions that do not apply to you.

➢ **Use Rush templates.** The templates use accepted form and language; this will facilitate the review process. If you do not use the templates, make sure you have included all Rush requirements.

➢ **Make sure you obtain all required approvals.** If you identify two or more departments in the RRP, every department chair, section head or designee of the identified departments is required to approve the project.

➢ **A protocol is required to do research.** A new project form is not the protocol. Use the NIH format when possible. Be sure to submit the latest version to the IRB and amend as needed.

➢ **Submit your projects to all of the appropriate oversight committees as required.** Indicate in the portal that your study requires additional reviews (Radiation Safety, IBC, COI), and upload the outcome documentation. If the review is pending, report the outcome as soon as possible. Final IRB approval will not be given without all approvals; however they may be conducted simultaneously.

➢ **Read through the entire application prior to submission.** Make sure all typographical errors are corrected and any cut and paste operations are complete and flow with the document. The proposal should read like a story. The study summary should be concise and in language that the community member and the non-scientist members are able to understand. If they are not able to understand the project, neither will the subjects.

➢ **Have someone else NOT involved in the project read through the consent form.** Ask them to explain the research back to you. Remember it should be at a sixth to eighth grade reading level.

➢ **Make sure the study team has fulfilled all the research education requirements.** There is a radio button on the left side of the project labeled "View Training Date Compliance". This will include the training data on everyone identified with the study.

➢ **If you need help with any aspect of your study, make an appointment with the RCTA Consultation Service.** Appointments are available Fridays 11 AM to 12 Noon, although every attempt will be made to accommodate your schedule. Identify what you need assistance with when you call for an appointment at **312-942-5498**.

Research and Clinical Trials Administration (RCTA) & Intellectual Property Contact List

MAIN LINE: 312-942-5498
MAIN FAX: 312-942-2874
RCTA HOTLINE: 312-942-7777 (Monitored Daily)
Rush Research Portal https://www.rush.edu/researchportal

Biological Safety Officer	Ed Blazek	2-5222	ed_r_blazek@rush.edu

Industry Contracts

Assistant Director	Peggy McAndrew	2-9934	peggy_mcandrew@rush.edu
Administrative Assistant	Marjorie Avila-Zuniga	3-2761	marjorie_avila-zuniga@rush.edu

Coverage Analysis

Analyst	Diane Downs	2-3356	diane_l_downs@rush.edu

Research Administrative Core

Regulatory Support	Jennifer Strong	2-3696	jennifer_a_strong@rush.edu
Nursing Support	Josephine Volgi	3-2741	josephine_volgi@rush.edu
Nursing Support	Amanda Begley	3-2113	Amanda_r_Begley@rush.edu
Budgets	Erin Craig	3-2715	Erin_Craig@rush.edu
Budgets	Michael Donoghue	2-3027	Michael_donoghue@rush.edu
Billing Analyst	Monique Austin	2-1994	monique_a_austin@rush.edu

Sponsored Research Projects

Director	Donna Knuth	2-3354	donna_knuth@rush.edu
Grant Submissions & Subcontracts Manager	Jennifer Garcia	2-3554	jennifer_l_garcia@rush.edu
Grant & Subcontract Specialist	Juanita Araujo	2-2411	juanita_araujo@rush.edu
Grant & Subcontract Specialist	Jessica Avila	2-1991	jessica_avila@rush.edu

IRB

Director of Human Subjects Protection	Jane Welch	2-7276	mary_jane_welch@rush.edu
IRB Manager	Stephanie Pittman	2-1206	stephanie_r_pittman@rush.edu
Senior IRB Consultant	John Cobb	2-6855	john_t_cobb@rush.edu
IRB Consultant	Gia Hayes	2-6693	gia_hayes@rush.edu
IRB Consultant	Reva Wymbs-Ball	2-3606	reva_t_wymbs@rush.edu
Administrative Assistant	Elanda Shannon	3-2721	elanda_t_shannon@rush.edu

Rush Research Portal Support

RRP Specialist & Web Master	Antonio DeMarco	2-5097	antonio_s_demarco@rush.edu

Intellectual Property

Director	Matt Raymond	3-2780	mathew_j_raymond@rush.edu
Associate Director	Jay Vijayan	3-2736	shrijay_vijayan@rush.edu
Administrative Assistant	Erica Burnett	3-2732	erica_n_burnett@rush.edu

RUSH UNIVERSITY MEDICAL CENTER

Determination of Whether an Activity Constitutes Human Subjects Research

Per Policy RA-IRB-118, activities that the Rush IRB may determine do not represent human subjects' research and do not require submission in the Rush Research Portal (RRP) include the following categories. Please select the category that applies to your project. If none of these categories apply to your research, please submit the project through the Rush Research Portal.

O Research only involving use/analysis of deceased individuals information or specimens (cadaveric studies).

O Course-related activities designated specifically for educational or teaching purposes, where data is collected from and about human subjects as part of a class exercise or assignment but are not intended for use outside of the classroom (not intended to develop or contribute to generalizable knowledge).

O Case report(s) involving the observation of a patient or patients whose novel condition or response to treatment was guided by the care provider's judgment regarding the best interest of the individual and no comparison of data is taking place. Please note that Rush HIPAA policies must be followed.

O Collection of data with the sole purpose to conduct a quality improvement/quality assurance project for internal use only. This also applies to students of Rush University who are employed at another medical center, when the work is part of their class requirements and the employer institution has certified the activities do not constitute human subjects research.

This completed form may be submitted in person to the Research and Clinical Trials Administration Office or via email to the Director of Human Subjects Protection, IRB Manager, Senior IRB Consultant, and/or IRB Chair (with the subject line "Determination of Human Subject Research"). A copy will be returned to you upon review by the above named individuals.

The submission must include the following items:

O completed form,

O a description of project goals and an abstract of the project including project methods,

O If the project will be conducted at an outside institution, a letter or other documentation of review must be included from the institution where the activities will occur that indicates the institution does not consider the activities to be human subjects' research and/or require IRB review.

Signature of Investigator: _____   Date:_____

Signature of Faculty Sponsor: _____   Date:_____

(if applicable)

For IRB Administrative Staff Use:

Date Request Received:	Administrator Assigned:
Qualifies as Non Human Subject Research Yes / No	
Date Investigator Notified:	Signature of Administrator:

1) *Attach copy of any correspondence with the Investigator and file in appropriate Fiscal Year folder.*
2) *Forward a copy of all documentation to the Investigator for their files.*

Organizing Your Regulatory Binder

Label the outside of the organizer with the protocol name and number, PI name, and study site number. Each study should have an individual regulatory binder and the site may have a master binder. Everything should be filed in chronological order, with the newest in front.

1. Protocol – all versions
2. Amendments
3. Continuing Reviews
4. Informed Consent Forms
5. HIPAA
6. UP Logs/Safety Reports
7. Investigator Brochure / Package Insert
8. Operating Manuel for devices
9. IND, IDE other regulatory documents
10. Regulatory Letters (Radiation Safety, IBC)
11. Current CVs (signed & dated)
12. Delegation of Authority Log
13. Site Personnel Signature Log
14. Study Training and Research Education Logs and Certificates
15. FDA Forms (1572 =1571)
16. COI
17. Subject Screening / Enrolment Log
18. Subject Code
19. IRB Approval letters
20. IRB Membership List
21. Institutional Assurance Letter (FWA)
22. Approved Advertisement / Recruitment material
23. Site Visit Monitoring Log
24. Shipping and Tracking receipts including certification of Hazardous Material Shipping Training
25. Investigational Agent Tracking and accountability records
26. Temperature Logs for refrigerator / freezer
27. Subject Accountability Records
28. Interactive Voice Response System (IVRS) and log in codes
29. Blind and/ or break instructions
30. Local Lab Certificates and reference ranges and CV of Lab Director
31. Communication from sponsor to site
32. Communication from site to sponsor
33. Notes to File
34. Blank CRFs, rating scales, screening forms

Some of the above could be maintained in a site master file.

What is a Cost Center?

- A <u>placeholder</u> in the general ledger accounting system to which revenue and expense transactions can be made

- <u>Tracks</u> financial results for <u>operational</u> areas (such as instruction and research) that the cost center is linked to

What is a Cost Center?

- Unused budget amounts remaining at the end of the fiscal year period <u>do not </u>carry over into the succeeding fiscal year ("Use It or Lose It")

- Provides a vehicle for measuring and assessing financial performance through the comparison of actual results to budget/planned

What Are the Different Types of Cost Centers?

Linked to specific operational areas and include:

- ➤ Instructional
  - o RMC Departmental (Medical Affairs) – typically 2xx4 cost center numbers
  - o RMC Administration
  - o CON (including CON Administration)
  - o CHS (including CHS Administration)
  - o GC (including GC Administration)
  - o Academic Support
- ➤ Research
  - o Research Departmental (Medical Affairs) – typically 2xx5 and 2xx6 cost center numbers
  - o Research Recruitment
  - o Research Administration
- ➤ Clinical
  - o Hospital and Hospital Administration
  - o RUMG
- ➤ Corporate

RMC Departmental (Medical Affairs) – typically 2xx4 cost center numbers

- Faculty Salary
  - 5% effort allowance for "Citizenship" applies to many faculty
  - Additional instructional effort based on defined teaching roles approved by Sr. Assoc. Dean for Med. Ed.

- Staff Salary
  - Amounts proposed by departments
  - Must be approved by Dean's Office/Provost Budget Committee

- Non Labor Expenses
  - Amounts determined by Dean's Office/Provost Budget Committee
  - Departments may request changes, but changes must be approved by Dean's Office/Provost Budget Committee

- Rent
  - Based on space utilization
  - Rent per square foot charge developed by corporate budget office towards the conclusion of the institutional budget process

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RMC Administration

Faculty Salary Effort

- – Department Chairperson

- – Serving on Academic Committees

- – Must be approved by Dean's Office/Provost Budget Committee

RUSH UNIVERSITY

Colleges of Nursing and Health Sciences

- Budget Targets Communicated by Provost Office

- Primary Source of Revenue is Tuition Revenue

- Faculty Salary
  - Teaching Effort (such as CON Faculty Workload Model)
  - Other faculty effort would presumably be assigned to funds or clinical operations

- Roll up of Collective Cost Center Budgets Cannot Exceed Target Communicated by Provost Office

Budgeting Process For Academic Cost Centers

Graduate College

- Budget Targets Communicated by Provost Office

- Primary Source of Revenue is Tuition Revenue

- Faculty Salary
  - Teaching Effort Based on Teaching Roles and Responsibilities
  - Need to synch up with RMC teaching effort since many faculty have teaching roles in both colleges

- Student Stipends
  - Stipends for 15 graduate students at the NIH stipend amount for predoctoral trainees

- Roll up of Collective Cost Center Budgets Cannot Exceed Target Communicated by Provost Office

RUSH UNIVERSITY

Academic Support

- Budget Targets Communicated by Provost Office

- Primarily Staff Salaries

- Amounts Budgeted in Academic Support Are Allocated Back to the Four Colleges and Research as Academic Overhead

- Roll up of Collective Cost Center Budgets Cannot Exceed Target Communicated by Provost Office

Budgeting Process For Academic Cost Centers

Research Departmental (Medical Affairs) – typically 2xx5 and 2xx6 cost center numbers

- Budget target is based on the research formula result for the department

- Departments are required to account for budgeted "fixed" expenses for on-campus rent, off-campus leased space and SP Fund Overhead <u>prior to</u> committing budget dollars to other purposes such as salaries, lab supplies, etc.

- Some departments utilize restricted funds to cover SP Fund Overhead expense (Commonly Referred to as "Downstreaming")

- Departments need to be aware of current research faculty and chair recruitments that are sunsetting
  - Financial responsibility for budgeting purposes shifts to the department

Budgeting Process For Academic Cost Centers

Research Recruitment

- Linked to An Approved Chair or Faculty Recruitment

- Cumulative Funding is Linked To The Approved Amount in Recruitment Proforma

- Funding is Limited To the Duration of the Recruitment Period
    - Typically 3 Years for Faculty Recruitments and 5 Years for Chair Recruitments

- Additional Funding is <u>Not Provided</u> If the Cumulative Amount Available to Spend is Exhausted Prior to the Conclusion of the Recruitment Period

- Activity Accounted For in Research Recruitment Cost Centers Flips to Research Departmental Cost Centers:
    - At the Conclusion of the Recruitment Period, or
    - When Cumulative Institutional Support Funding is Exhausted

RUSH UNIVERSITY

Research Administration

Faculty Salary Effort

– Departmental Chairperson

– Serving on Research Committees

- IRB

- IACUC

- IBC

– Must be approved by Dean's Office/Provost Budget Committee

RUSH UNIVERSITY

Completing Cost Center Budget Workbooks

- Personnel Salary and FTE Worksheet

- Revenue and Other Expense Worksheet

Budget Workbooks For Academic Cost Centers
Personnel Salary and FTE Worksheet

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	B	D	E	F	G	H	I	J	L	M	N	O	P	Q	X
1	Cost Center	Account	Name	Emp No	Jobclass	Grade	Shift	Hire Date	Start Date	Stop Date	FTE	Avg Ann FTE	Rate	Merit (%)	Salary($)
2	69XX	40101	BALDWIN, JAMES	123456	5451	14	1	23-Sep-99	07/1/2013	06/30/2014	1.00	1.00	27.16	2.50%	57,472
3	69XX	40101	CLEMENS, SAMUEL	213456	7800	00	1	18-Nov-02	07/1/2013	06/30/2014	0.60	0.60	24.03	2.50%	30,509
4	69XX	40101	FAULKNER, WILLIAM	321654	7800	00	1	07-Sep-04	07/1/2013	06/30/2014	1.00	1.00	31.07	2.50%	65,746
5	69XX	40101	KING, STEPHEN	365241	8409	12	1	13-Sep-04	07/1/2013	06/30/2014	0.50	0.50	29.11	2.50%	30,799
6	69XX	40101	<add name>						07/1/2013	06/30/2014		-		0.00%	-
7	69XX	40101	<add name>						07/1/2013	06/30/2014		-		0.00%	-
8		40101 Total									3.10	3.10			184,526
9	69XX	40102	HELLER, JOSEPH	425631	7701	09	1	09-Dec-02	07/1/2013	06/30/2014	1.00	1.00	32.55	2.50%	68,877
10	69XX	40102	<add name>						07/1/2013	06/30/2014	-	-		0.00%	-
11	69XX	40102	<add name>						07/1/2013	06/30/2014	-	-		0.00%	-
12		40102 Total									1.00	1.00			68,877
13	69XX	40119	ROWLING, JOANNE K	523625	8013	00	1	28-Sep-98	07/1/2013	06/30/2014	1.00	1.00	35.13	2.50%	74,337
14	69XX	40119	CRICHTON, MICHAEL	425123	7710				07/1/2013	06/30/2014	1.00	1.00	24.40	2.50%	51,632
15	69XX	40119	KEROUAC, JACK	613452	8012	00	1	15-Aug-05	07/1/2013	06/30/2014	1.00	1.00	29.19	2.50%	61,767
16	69XX	40119	KOONTZ, DEAN	342561	8019	00	1	02-Jul-07	07/1/2013	06/30/2014	1.00	1.00	33.64	2.50%	71,184
17	69XX	40119	ALCOTT, LOUISA M	456321	8012				07/1/2013	06/30/2014	1.00	1.00	32.78	2.50%	69,364
18	69XX	40119	<add name>						07/1/2013	06/30/2014		-		0.00%	-
19	69XX	40119	<add name>						07/1/2013	06/30/2014		-		0.00%	-
20		40119 Total									5.00	5.00			328,284
21		Grand Total									9.10	9.10			581,687

Budget Workbooks For Academic Cost Centers Revenue and Other Expenses

	GREENBOOK GROUP DESCR	ACCOUNT	DEC 2012 YTD ACTUAL	DEC 2012 YTD BUDGET	FY13 BUDGET	FY14 BUDGET	COMMENTS
17	Supplies, Utilities & Other	41410 Books And Publications	307	250	500		
18	Supplies, Utilities & Other	41420 Office Supplies	1,475	1,875	3,750		
19	Supplies, Utilities & Other	41423 Outside - Printed Matters	6,275	3,750	7,500		
20	Supplies, Utilities & Other	41430 Postage	499	488	975		
21	Supplies, Utilities & Other	41460 Photocopy Supplies	251	1,422	2,843		
22	Supplies, Utilities & Other	41680 Electronic Supplies	-	-	-		
23	Supplies, Utilities & Other	42010 Equipment Minor Purchases	649	-	-		
24	Supplies, Utilities & Other	42020 Equip Maint Agreements	-	-	-		
25	Supplies, Utilities & Other	42030 Equip Repair	-	250	500		
26	Supplies, Utilities & Other	43050 Utilities Tele-Phone Gram	60	375	750		
27	Supplies, Utilities & Other	45010 Membership Dues	5,045	3,000	6,000		
28	Supplies, Utilities & Other	45050 Freight And Messenger Srv	155	400	800		
29	Supplies, Utilities & Other	45080 Ground Transport Out Town	370	438	875		
30	Supplies, Utilities & Other	45081 Meals Out Of Town	587	219	437		
31	Supplies, Utilities & Other	45082 Registration Out Of Town	255	656	1,312		
32	Supplies, Utilities & Other	45083 Othr Misc Travel Out Town	27	88	175		
33	Supplies, Utilities & Other	45084 Lodging	1,883	1,605	3,210		
34	Supplies, Utilities & Other	45085 Domestic Airfare	1,949	1,312	2,624		
35	Supplies, Utilities & Other	45110 Advertising	(100)	2,500	5,000		
36	Supplies, Utilities & Other	45170 Faculty Interviews&Meetng	-	-	-		
37	Supplies, Utilities & Other	45200 Traditional Services	3,438	1,250	2,500		
38	Supplies, Utilities & Other	45270 Tuition Assistance	-	-	-		
		45280 Ground Transport					

INPUT 401XX CC69XX   **INPUT GL CC69XX**   CC 69XX

RUSH UNIVERSITY

MPC Financial Reporting System

- MPC is the current web-based financial reporting system application used at Rush to access financial results for cost centers

- Administered by Corporate Finance, Financial Systems Department

- Standard Report – Statement of Operations Report
  - ❑ Formatted Print-Outs
  - ❑ Easy Export to Excel
  - ❑ Ability to Drill Down to GL Transaction Detail (up to two years)

MPC Financial Reporting System Welcome Screen (HTTP://MPC.RUSH.EDU)

MPC Financial Reporting System Reporting Screen (HTTP://MPC.RUSH.EDU)

RUSH UNIVERSITY

Supporting Statement of Operations

Organization Unit			Center							August			
ALL UNITS													

	Month FY 2014 ACTUAL	BUDGET	Var $	Var %	Year-to-date FY 2013 ACTUAL	FY 2014 ACTUAL	BUDGET	Var $	Var %	FY 2013 ACTUAL	BUDGET	Var $	Var %
27999-OTHER INC MISC INCOME	2,262	2,262	0	0.0%	2,396	4,525	4,524	1	0.0%	4,792	4,792	0	0.0%
MISC OTHER REVENUES	2,262	2,262	0	0.0%	2,396	4,525	4,524	1	0.0%	4,792	4,792	0	0.0%
TOTAL OTHER REVENUES	2,262	2,262	0	0.0%	2,396	4,525	4,524	1	0.0%	4,792	4,792	0	0.0%
TOTAL OPERATING REVENUES	2,262	2,262	0	0.0%	2,396	4,525	4,524	1	0.0%	4,792	4,792	0	0.0%
TOTAL REVENUES	2,262	2,262	0	0.0%	2,396	4,525	4,524	1	0.0%	4,792	4,792	0	0.0%
40101-BIWKLY SAL MGMT & SUPER	518	530	12	2.2%	340	1,088	1,060	(28)	(2.7)%	922	1,170	248	31.2%
40950-PAID TIME OFF	79	67	(12)		246	106	134	28	20.9%	249		(249)	
TOTAL WAGES BIWKLY	597	597	0	0.0%	585	1,194	1,194	0	0.0%	1,171	1,170	(1)	(0.1)%
40945-W & S VACANCY ALLOWANCES		(598)	(598)				(1,196)	(1,196)					
OTHER WAGES AND SALARIES		(598)	(598)				(1,196)	(1,196)					
SALARIES AND WAGES	597	(1)	(598)		585	1,194	(2)	(1,196)		1,171	1,170	(1)	(0.1)%
45960-FRINGE BENEFITS RECHARGE	137		(137)		159	275		(275)		318	318	0	(0.2)%
FRINGE BENEFITS	137		(137)		159	275		(275)		318	318	0	(0.2)%
TOTAL SALARIES AND BENEFITS	734	(1)	(735)		745	1,469	(2)	(1,471)		1,489	1,488	(1)	(0.1)%
45050-FREIGHT AND MESSENGER SRV		24	24	100.0%	0		48	48	100.0%	0		0	
45990-MISCELLANEOUS		2	2	100.0%	0		4	4	100.0%	0		0	
TOTAL MISCELLANEOUS		26	26	100.0%	0		52	52	100.0%	0		0	
TOTAL MISCELLANEOUS AND TAXES		26	26	100.0%	0		52	52	100.0%	0		0	
SUPPLIES UTILITIES AND OTHER		26	26	100.0%	0		52	52	100.0%	0		0	
45180-COMMISSIONS AND FEES	16	10	(6)		17	29	20	(9)		17		(17)	
TOTAL COMMISSIONS AND FEES	16	10	(6)		17	29	20	(9)		17		(17)	
CONTRACTED SERVICES	16	10	(6)		17	29	20	(9)		17		(17)	
45975-HOSPITAL SP OVERHEAD	2,262	2,262	0	0.0%	2,396	4,524	4,524	0	0.0%	4,792	4,792	0	0.0%
OVERHEAD	2,262	2,262	0	0.0%	2,396	4,524	4,524	0	0.0%	4,792	4,792	0	0.0%
49930-RECHG SPACE DEBIT	4,896	4,896	0	0.0%	4,912	9,792	9,792	0	0.0%	9,824	9,824	0	0.0%
SPACE	4,896	4,896	0	0.0%	4,912	9,792	9,792	0	0.0%	9,824	9,824	0	0.0%
TOTAL EXPENSES	7,909	7,193	(716)	(10.0)%	8,070	15,815	14,386	(1,429)	(9.9)%	16,122	16,104	(18)	(0.1)%
EXCESS OF REVENUE OVER EXPENSES	(5,647)	(4,931)	(716)	14.51%	(5,674)	(11,290)	(9,862)	(1,428)	14.51%	(11,330)	(11,312)	(18)	(0.2)%

RUSH UNIVERSITY

Information | **Reporting** | Payroll | Support | Log Off

Select an Action...

Supporting Statement of Operations

Organization Unit		Center							August			
ALL UNITS												

	Month FY 2014 ACTUAL	BUDGET	Var $	Var %	FY 2013 ACTUAL	Year-to-date FY 2014 ACTUAL	BUDGET	Var $	Var %	FY 2013 ACTUAL	BUDGET	Var $	Var %
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TOTAL OPERATING REVENUES	2,262	2,262	0	0.0%	2,396	4,525	4,524	1	0.0%	4,792	4,792	0	0.0%
TOTAL REVENUES	2,262	2,262	0	0.0%	2,396	4,525	4,524	1	0.0%	4,792	4,792	0	0.0%
40101-BIWKLY SAL MGMT & SUPER	518	530	12	2.2%	340	1,088	1,060	(28)	(2.7)%	922	1,170	248	21.2%
40950-PAID TIME OFF	79	67	(12)		246	106	134	28	20.9%	249		(249)	
TOTAL WAGES BIWKLY	597	597	0	0.0%	585	1,194	1,194	0	0.0%	1,171	1,170	(1)	(0.1)%
40945-W & S VACANCY ALLOWANCES		(598)	(598)				(1,196)	(1,196)					
OTHER WAGES AND SALARIES		(598)	(598)				(1,196)	(1,196)					
SALARIES AND WAGES	597	(1)	(598)		585	1,194	(2)	(1,196)		1,171	1,170	(1)	(0.1)%
45960-FRINGE BENEFITS RECHARGE	137		(137)		159	275		(275)		318	318	0	(0.2)%
FRINGE BENEFITS	137		(137)		159	275		(275)		318	318	0	(0.2)%
TOTAL SALARIES AND BENEFITS	734	(1)	(735)		745	1,469	(2)	(1,471)		1,489	1,488	(1)	(0.1)%
45050-FREIGHT AND MESSENGER SRV		24	24	100.0%	0		48	48	100.0%	0		0	
45990-MISCELLANEOUS		2	2	100.0%	0		4	4	100.0%	0		0	
TOTAL MISCELLANEOUS		26	26	100.0%	0		52	52	100.0%	0		0	
TOTAL MISCELLANEOUS AND TAXES		26	26	100.0%	0		52	52	100.0%	0		0	
SUPPLIES UTILITIES AND OTHER		26	26	100.0%	0		52	52	100.0%	0		0	
45180-COMMISSIONS AND FEES	16	10	(6)		17	29	20	(9)		17		(17)	
TOTAL COMMISSIONS AND FEES	16	10	(6)		17	29	20	(9)		17		(17)	
CONTRACTED SERVICES	16	10	(6)		17	29	20	(9)		17		(17)	
45975-HOSPITAL SP OVERHEAD	2,262	2,262	0	0.0%	2,396	4,524	4,524	0	0.0%	4,792	4,792	0	0.0%
OVERHEAD	2,262	2,262	0	0.0%	2,396	4,524	4,524	0	0.0%	4,792	4,792	0	0.0%
49930-RECHG SPACE DEBIT	4,896	4,896	0	0.0%	4,912	9,792	9,792	0	0.0%	9,824	9,824	0	0.0%
SPACE	4,896	4,896	0	0.0%	4,912	9,792	9,792	0	0.0%	9,824	9,824	0	0.0%
TOTAL EXPENSES	7,909	7,193	(716)	(10.0)%	8,070	15,815	14,386	(1,429)	(9.9)%	16,122	16,104	(18)	(0.1)%
EXCESS OF REVENUE OVER EXPENSES	(5,647)	(4,931)	(716)		(5,674)	(11,290)	(9,862)	(1,428)		(11,330)	(11,312)	(18)	(0.2)%

MPC Financial Financial Reporting System Cost Center Report
Drill Down GL Transaction Report

RunQuery.asp [Read-Only]

	A	B	C	D	E	F	G	H	I	J	K	L
1	Company	Account	Center	Version	Year	Period	Eff_Date	Desc1	Amount	Type	ETR_Date	source
2	101	45180		ACTUAL	2014	1	7/15/2013	0000610447 0570 071813 CITADEL	13	PT	7/15/2013	2000030937
3	101	45180		ACTUAL	2014	1	7/27/2013	APUV1 0000610447 05/31/13 CITA	-16.25	PT	7/27/2013	4500000406
4	101	45180		ACTUAL	2014	1	7/27/2013	APUV1 0000610447 05/31/13 CITA	16.25	PT	7/27/2013	4500000407
5	101	45180		ACTUAL	2014	2	8/15/2013	0000610447 0574 062013 CITADEL	16.25	PT	8/15/2013	2000030937
6	101	45180		ACTUAL	2014	2	8/15/2013	0000610447 0588 082313 CITADEL	16.25	PT	8/15/2013	2000030937
7	101	45180		ACTUAL	2014	2	8/27/2013	APUV1 0000610447 05/31/13 CITA	-16.25	PT	8/27/2013	4500000407
8									29.25			

Background Information on Funds

- To establish a new fund the approval request needs to be routed through either the Sponsored Projects Office or the Office of Philanthropy to Fund Accounting

- Most externally sponsored awards are processed through the Sponsored Projects Office, however, some do get processed by the Office of Philanthropy

- Upon receiving the approved request, Fund Accounting establishes a fund number and activates the fund number in the accounting system where it becomes an identified placeholder to which revenue and expense transactions can be processed (similar to cost centers)

- For accounting purposes at Rush, funds are categorized as being either <u>restricted</u> or <u>unrestricted</u>

RUSH UNIVERSITY

Definition of Restricted Fund

Restrictions are placed on the fund by donors and other entities external to the institution. Restricted funds can be restricted to a specific purpose or to a future time period.

Source : NACUBO "Essentials of College and University Accounting"
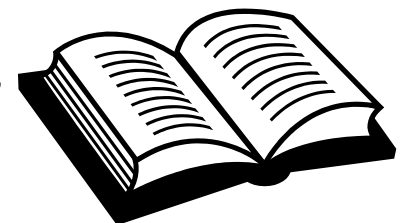
Restricted Funds

Restricted Fund Categories

NIH Prime Awards

- Funds received directly from NIH to support a specific project
- Most projects relate to either research or training activities

NIH Subcontracts

- NIH funds are "passed through" another institution and subcontracted to Rush to support a specific project

Other Federally Sponsored Agreements (Primarily Contracts)

- Funds provided by Federal Governmental agencies (Dept of Army, Navy, Defense, NSF, etc) to support a specific project

Restricted Funds

Restricted Fund Categories

Other Governmentally Sponsored Agreements

- Primarily funding from the State (IDPH, IDHS)

Other Externally Sponsored Grants

- Funds received externally to carry out an approved project or activity. Financial reporting and/or progress reports to the sponsor are required.
- Primary sponsors are private foundations, associations, etc.

Internally Sponsored Research Grants (Pilot Grants)

- Source of funding is other philanthropic-based restricted funds
- Requires approval of SLC, Rush/Stroger, etc. to establish fund

Restricted Funds

Restricted Fund Categories

Endowment Funds

- Income funds are generated from endowment corpus held and invested by the Medical Center or by an outside trust that's external to the Medical Center
- Specific restrictions per the intent of the donor
- Typically require a periodic notification to donor detailing how the funds were used

Scholarship Funds

- Any fund restricted for exclusive use to provide tuition assistance, which is not subject to repayment

Restricted Fund Categories

Department Restricted Funds

- Typically Philanthropic-based restricted funds
- Restricted to general use of department

Other Restricted Funds

- Typically Philanthropic-based restricted funds
- Restricted to a specific purpose

Definition of Unrestricted Fund

Expendable for any purpose in performing the primary

objectives of the institution.

Source : NACUBO "Essentials of College and University Accounting"
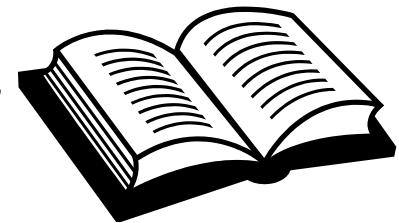
Unrestricted Fund Categories

Clinical Trials and Industry Sponsored Research

- Trials are conducted to evaluate the effectiveness and safety of medications or medical devices by monitoring their effects on large groups of people.
- Primarily sponsored by pharmaceutical industry company

Purchased Services

- Typically Fee for Service Agreements
- Primarily linked to federal sponsors

Escrow/Preferred Funds

- Funds originally established at the department or section level to which certain defined operating transactions or deposits as determined by management are recorded
- The majority of these funds that were originally established have been closed out

RUSH UNIVERSITY

Two pathways to monitoring and financially managing fund activity:

- By Fund Balance
  - Monitor ending fund balances to ensure that fund balances remain in surplus or are projected (on track) to remain in surplus

- By Award/Contract/Subcontract Agreement Terms
  - Fund expenditures are managed according to the approved terms of the agreement

RUSH UNIVERSITY

Tips To Managing By Fund Balance

- Key is to stay on top of the fund activity and know what's going on
  - Are expenses recurring (salaries) or less frequently (travel)?
  - Are revenues recurring (endowment) or less frequently (restricted gifts)

- The "Detail Fund Transactions by Account" report should be used as a support document to assist with this process
  - Demonstrated later in presentation

- Monitor frequently
  - Financial reports are distributed monthly

- Be proactive
  - Anticipate recurring expenses such as salaries that need to be reassigned to a different funding source

RUSH UNIVERSITY

Managing By Fund Balance

Fund Types That Would Use This Approach

- Endowments

- Department Restricted

- Other Restricted

- Clinical Trials

- Industry Sponsored Research

- Purchased Services

- Internally Sponsored Research (Pilot Grants)

- Scholarship Funds

RUSH UNIVERSITY

Managing By Fund Balance

Tips and Challenges of Managing Different Fund Types

- Endowments
    - Monthly <u>predictable</u> revenue stream
    - Should only be charging expenses up to the amount of the monthly revenue stream unless there's a conscious understanding to spend down a surplus fund balance

- Department and Other Restricted
    - Sporadic revenue stream
        - Timing and magnitude of payments received is usually unknown until they occur
    - Need to pay close attention to the fund balance to make sure that expenses being charged don't outstrip the fund revenue
        - Unlike endowments, there is no guarantee of future revenue to cover fund deficits that might occur

RUSH UNIVERSITY

Managing By Fund Balance

Tips and Challenges of Managing Different Fund Types

- Clinical Trials
  - Revenue generally linked to subject enrollment and participation in clinical trials
    - Can be difficult to project due to uncertainty

  - Usually involves certain amount of fixed (coordinator salary) and variable (lab) expenses

  - Some departments use superfunds which de-link revenue and expense activity making it difficult to account for all financial activity for a particular study

  - To the extent possible the actual salary effort and its associated expense needs to be right sized to the level of revenue being generated
    - Unless this is managed carefully, clinical trial funds can slip into deficit

RUSH UNIVERSITY

Managing By Fund Balance

Tips and Challenges of Managing Different Fund Types

- Industry Sponsored Research
  - Revenue typically linked to a set amount provided by the sponsor
    - o Projecting revenue amounts tend to be more predictable than for clinical trials
    - o Tend to have larger upfront payments or predictable payment schedules compared to clinical trials which reduces the financial risk of the fund going into deficit

  - Expenses incurred for salaries and animal per diem expenses are generally more predictable and manageable than expenses incurred for clinical trials
    - o Personnel effort usually linked to a smaller number of studies compared to clinical trials

  - Since overall revenue amounts are known quantities from the outset, properly managing expenses through the duration of the project is the key to avoiding fund going into deficit

Managing By Fund Balance

Tips and Challenges of Managing Different Fund Types

- Purchased Services
    - Revenue amount is known quantity (per the purchased services agreement) and linked to the delivery of a good or service
    - Department delivering the good or service should be aware of the expenses involved to do so and ensure that expected revenues are sufficient to cover planned expenses
    - Proper planning and execution are the key to ensuring financial success (no deficits) for these funds

- Internally Sponsored Research (Pilot Grants)
    - Revenue amount a known quantity
        - Linked to the approved funding amount communicated by awarding group (such as SLC)
        - Revenue usually deposited into fund when the fund is established
    - Need to pay close attention to the fund balance to make sure that expenses being charged don't outstrip the fund revenue

Detail Fund Transactions By Account Report
(Used to Manage By Fund Balance)

⟪I⟫RUSH

Department of :

Detail Fund Transactions By Account

For the Month of: 08/2013

Page 1

Provides monthly financial activity information.

Beginning Balance surplus of $709,178. Beginning balance is measured at the start of month (August 1, 2013)

Fund No:
Fund Desc:

Fund Set-up Date:
Fund Closing Date:

P.I.:
Grant Amount:

Cost Center	Transaction Description	Account Number	REFERENCE Source Code #	REFERENCE Document # or Pay Period	Amount
	BEGINNING BALANCE				-709,178.47
	FUNDED CAP 1501 082313 SIGMASO	16200	20	00014539	71.45
	FUNDED CAP 1501 082313 SIGMASO	16200	20	00014539	79.37
	FUNDED CAP 1501 082313 SIGMASO	16200	20	00014539	71,684.60
	FUNDED CAP 1501 082313 SIGMASO	16200	20	00014539	70.93
	FUNDED CAP 1501 082313 SIGMASO	16200	20	00014539	331.07
	FUNDED CAP 1501 082313 SIGMASO	16200	20	00014539	15,358.08
	FUNDED CAP 1501 082313 SIGMASO	16200	20	00014539	19,195.20
	FUNDED CAP 1501 082313 SIGMASO	16200	20	00014539	15,469.80
	FUNDED CAP 1501 082313 SIGMASO	16200	20	00014539	88.65
	FUNDED CAP 1501 082313 SIGMASO	16200	20	00014539	17,184.52
	SUBTOTAL - 16200 FUND CAPITAL EQUIPMENT				139,533.67
	FUNDED CAP 1501 082313 SIGMASO	49910	20	00014539	79.37
	FUNDED CAP 1501 082313 SIGMASO	49910	20	00014539	19,195.20
	FUNDED CAP 1501 082313 SIGMASO	49910	20	00014539	15,358.08
	FUNDED CAP 1501 082313 SIGMASO	49910	20	00014539	331.07
	FUNDED CAP 1501 082313 SIGMASO	49910	20	00014539	15,469.80
	FUNDED CAP 1501 082313 SIGMASO	49910	20	00014539	17,184.52
	FUNDED CAP 1501 082313 SIGMASO	49910	20	00014539	70.93
	FUNDED CAP 1501 082313 SIGMASO	49910	20	00014539	71,684.60
	FUNDED CAP 1501 082313 SIGMASO	49910	20	00014539	88.65
	FUNDED CAP 1501 082313 SIGMASO	49910	20	00014539	71.45
	SUBTOTAL - 49910 RECHG CAPITAL EQUIPCOST				139,533.67

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Detail Fund Transactions By Account

For the Month of: 08/2013

Page 2

Fund No:

Fund Desc:

Fund Set-up Date:

Fund Closing Date:

P.I.:

Grant Amount:

Cost Center	Transaction Description	Account Number	REFERENCE Source Code #	REFERENCE Document # or Pay Period	Amount
	FUNDED CAP 1501 082313 SIGMASO	49920	20	00014539	-15,358.08
	FUNDED CAP 1501 082313 SIGMASO	49920	20	00014539	-71.45
	FUNDED CAP 1501 082313 SIGMASO	49920	20	00014539	-70.93
	FUNDED CAP 1501 082313 SIGMASO	49920	20	00014539	-331.07
	FUNDED CAP 1501 082313 SIGMASO	49920	20	00014539	-19,195.20
	FUNDED CAP 1501 082313 SIGMASO	49920	20	00014539	-15,469.80
	FUNDED CAP 1501 082313 SIGMASO	49920	20	00014539	-17,184.52
	FUNDED CAP 1501 082313 SIGMASO	49920	20	00014539	-71,684.60
	FUNDED CAP 1501 082313 SIGMASO	49920	20	00014539	-79.37
	FUNDED CAP 1501 082313 SIGMASO	49920	20	00014539	-88.65

SUBTOTAL - 49920   RECHG CAPITAL EQUIPCREDT   -139,533.67

ENDING BALANCE   -569,644.80
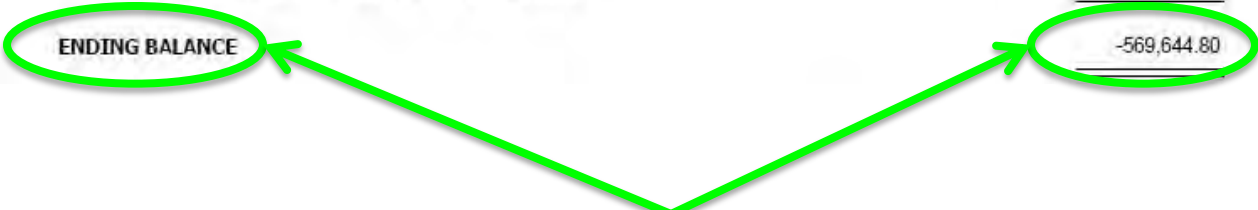
Net August 2013 expenses of $139,534 are deducted from the August 1, 2013 beginning surplus balance of $709,178 to equal current August 31, 2013 surplus ending balance of $569,645

Tips For Managing By Sponsored Award/Contract/Subcontract Agreement Terms

– Focus should be on managing expenses to agreement amounts

- Long Term (through agreement end date)

- Short Term (current period)

- Monitoring revenue activity is not as essential as fund types that are managed by fund balances since the revenue amounts and timing of revenue are known quantities

– Long term requires knowing the overall duration of the agreement and the current place in the duration of the agreement

- For example, if the duration of the agreement is two years and it's currently reached the end of year 1, then actual expenses incurred should be approximately 50% of the overall agreement amount (assuming equal award amount for each year)

- If actual amounts are significantly different from the anticipated amounts at a current point in time, its important to understand why

  o Expenses might be lower than anticipated due to the project getting off to a delayed start

  o Expenses might be higher than anticipated due to a large non-recurring expense in year 1 (such as consortium expenses)

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Tips For Managing By Sponsored Award/Contract/Subcontract Agreement Terms

- Short term also requires knowing the overall duration of the agreement and the current place in the duration of the agreement

  - If the current (monthly) pace of spending is projected to continue, is there sufficient funding available through the completion of the project?

  - Have recent changes to current spending (such as increasing or decreasing salary effort) been accounted for in projecting spending levels through the completion of the project?

  - Have large infrequent expenditures such as consortium expenses been accounted for?

  - Are there plans for requesting a no cost extension?

- The "Fund Summary by Account" report should be used as a support document to assist with this process

  - Demonstrated later in presentation

Managing By Award/Contract/Subcontract Agreement Terms

Fund Types That Would Use This Approach

- NIH Prime Awards

- NIH Subcontracts

- Other Federally Sponsored Agreements (DoD Contract)

- Other Governmentally Sponsored Agreements (IDPH)

- Other Externally Sponsored Grants (e.g., American Cancer Society)

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Managing By Award/Contract/Subcontract Agreement Terms

Tips and Challenges of Managing Different Fund Types

- NIH Prime Awards
    - Awards typically cover long duration multi year periods up to 5 years making it essential to carefully track and manage expenses

    - Are more likely to have large one time or sporadically occurring expenses for items such as equipment, consulting or consortium
        - Very important to properly account for these type of expenses when projecting expenses through the duration of the award

    - Fringe benefit rates are reset every fiscal year

    - Typically involve multiple personnel who's effort can fluctuate over the duration of the project

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Managing By Award/Contract/Subcontract Agreement Terms

Tips and Challenges of Managing Different Fund Types

- NIH Subcontracts

    - Subcontracts typically cover multiple short duration periods of 1 year with a new or amended subcontract being developed for each future period

    - Need to be aware of status of subcontract with subcontractor institution
        - In some cases the subcontractor does not renew the subcontract agreement even if the primary award is still active
        - If subcontract is anticipated to not be renewed, it's important to proactively plan to move salaries and other expenses onto other funding sources

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Managing By Sponsored Award/Contract/Subcontract Agreement Terms

Tips and Challenges of Managing Different Fund Types

- Other Federally Sponsored Agreements (DoD Contract)

    - Agreements typically extend over multi year periods

    - Need to be acutely aware of the specifics of the agreement
        - Can include specialized treatment/handling of issues that varies by sponsor even amongst different federal sponsors

Managing By Sponsored Award/Contract/Subcontract Agreement Terms

Tips and Challenges of Managing Different Fund Types

- Other Governmentally Sponsored Agreements (IDPH)

  - Agreements can vary in duration

  - Need to be acutely aware of the specifics of the agreement
    - Can include specialized treatment/handling of issues that are significantly different from other sponsors
    - May include very specific reporting requirements that can be challenging to respond to

Monitoring and Managing Fund Activity

Managing By Sponsored Award/Contract/Subcontract Agreement Terms

Tips and Challenges of Managing Different Fund Types

- Other Externally Sponsored Grants (e.g. American Cancer Society)

    - Agreements can vary in duration but are typically shorter than NIH grants

    - Need to be acutely aware of the specifics of the agreement
        - Can include specialized treatment/handling of issues that are significantly different from other sponsors
        - May include very specific reporting requirements that can be challenging to respond to

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Fund Summary By Account
For the Month of: 08/2013

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Fund No:						
Fund Desc:				Fund Set-up Date: 8/1/2011	Budget Period:	P.I.:
				Fund Closing Date: 7/31/2014	Project Period:	Grant Amount:

Current Month Actual	Fiscal Year to Date Actual	Account Number	Account Description	Life to Date Actual	Life to Date Budget	Variance
			Receipts			
		90019	GOVT GRANTS & CONTRACTS	-118,291.22	-382,500.00	-264,208.78
0.00	0.00		TOTAL Receipts	-118,291.22	-382,500.00	-264,208.78
			Salaries			
4,848.00	9,372.80	40102	BIWKLY SAL & TECH SPEC	121,748.60	180,000.00	58,251.40
	323.20	40950	PAID TIME OFF	6,062.80		-6,062.80
4,848.00	9,696.00		TOTAL Salaries	127,811.40	180,000.00	52,188.60
			Fringes			
1,376.83	2,753.66	16250	FRINGE BENEFITS	34,938.42	47,520.00	12,581.58
1,376.83	2,753.66		TOTAL Fringes	34,938.42	47,520.00	12,581.58
			Equipment			
		42010	MINOR EQUIPMENT PURCHASES	318.66		-318.66
0.00	0.00		TOTAL Equipment	318.66	0.00	-318.66
			Travel			
		45080	TRAVEL	2,183.12	7,800.00	5,616.88
		45380	TRAVEL FOREIGN	1,901.04		-1,901.04
0.00	0.00		TOTAL Travel	4,084.16	7,800.00	3,715.84
			Consumable Supplies			
		41580	LABORATORY SUPPLIES	-258.04		258.04
0.00	0.00		TOTAL Consumable Supplies	-258.04	0.00	258.04

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Department of :

Fund Summary By Account

For the Month of: 08/2013

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Grant project period is from 8-1-2011 to 7-31-2014 (36 months)
This report is for August 2013, so it's 25 months into the grant
project period with 11 months (Sept. 2013 – July 2014) remaining

Fund No:
Fund Desc:

Fund Set-up Date: 8/1/2011
Fund Closing Date: 7/31/2014

Budget Period:
Project Period:

P.I.:
Grant Amount:

Current Month Actual	Fiscal Year to Date Actual	Account Number	Account Description		Life to Date Actual	Life to Date Budget	Variance
			Other				
		45180	COMMISSIONS AND FEES		20.00		-20.00
		45186	REEARCH SUBJECTS		2,019.00	9,680.00	7,661.00
		45990	MISCELLANEOUS			5,000.00	5,000.00
		49490	TRANSPORTATION COST		340.00		-340.00
0.00	0.00		TOTAL Other		2,379.00	14,680.00	12,301.00
6,224.83	12,449.66		TOTAL Direct Costs		169,273.60	250,000.00	80,726.40
			Overhead				
3,299.16	6,598.32	16240	OVERHEAD		89,714.97	132,500.00	42,785.03
3,299.16	6,598.32		TOTAL Overhead		89,714.97	132,500.00	42,785.03
9,523.99	19,047.98		TOTAL Disbursements		258,988.57	382,500.00	123,511.43
9,523.99	19,047.98		******** NET ********		140,697.35	0.00	-140,697.35

Cumulative Expenditures
Through 25 Months $258,989

Unspent Balance
Remaining For Final 11
Months $123,511

Current monthly expenses running at $9,524/mo. Since
there's $123,511 remaining, the remaining funds could
last for an additional 13 months which is more than the
11 months that are remaining

Cumulative Award Amount $382,500

COMMUNICATIONS STYLE INVENTORY

This is an informal survey, designed to determine how you usually act in everyday related situations. The idea is to get a clear description of how you see yourself. On the answer sheet, circle A or B in each pair of statements below, which shows the one that MOST, describes you.

1. A) I'm usually open to getting to know people personally and establishing relationships with them.
   B) I'm not usually open to getting to know people personally and establishing relationships with them.

2. A) I usually react slowly and deliberately.
   B) I usually react quickly and spontaneously.

3. A) I'm usually guarded about other people's use of my time.
   B) I'm usually open to other people's use of my time.

4. A) I usually introduce myself at social gatherings.
   B) I usually wait for others to introduce themselves to me at social gatherings.

5. A) I usually focus my conversations on the interests of the people involved, even if that means straying from the business or subject at hand.
   B) I usually focus my conversations on the tasks, issues, business, or subject at hand.

6. A) I'm usually not assertive, and I can be patient with a slow pace.
   B) I'm usually assertive, and at times I can be impatient with a slow pace.

7. A) I usually make decisions based on facts or evidence.
   B) I usually make decisions based on feelings , experiences or relationships.

8. A) I usually contribute frequently to group conversations.
   B) I usually contribute infrequently to group conversations.

\

9. A) I usually prefer to work with and through others, providing support when possible.
B) I usually prefer to work independently or dictate the conditions in terms of how others are involved.

10. A) I usually ask questions or speak tentatively and indirectly.
B) I usually make empathic statements or directly expressed opinions.

11. A) I usually focus primarily on ideas, concepts, or results.
B) I usually focus primarily on persons, interactions, and feelings.

12. A) I usually use gestures, facial expression, and voice intonations to emphasize points.
B) I usually do not use gestures, facial expressions, and voice intonations to emphasize points

13. A) I usually accept others' points of view (ideas, feelings, and concerns).
B) I usually don't accept others' points of view (ideas, feelings, and concerns)

14. A) I usually respond to risk and change in a cautious or predictable manner.
B) I usually respond to risk and change in dynamic or unpredictable manner.

15. A) I usually prefer to keep personal feelings and thoughts private, sharing only when I wish to do to.
B) I usually find it natural and easy to share and discuss my feelings with others.

16. A) I usually seek out new or different experiences and situations.
B) I usually choose known or similar situations and relationships.

17. A) I'm usually responsive to others' agendas, interests, and concerns.
B) I'm usually directed toward my own agendas, interests and concerns.

18. A) I usually respond to conflict slowly and indirectly.
B) I usually respond to conflict quickly and directly.
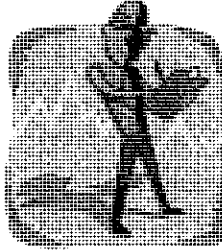
ANSWER SHEET

O	G		D	I
1A	1B		2B	2A
3B	3A		4A	4B
5A	5B		6B	6A
7B	7A		8A	8B
9A	9B		10B	10A
11B	11A		12A	12B
13A	13B		14B	14A
15B	15A		16A	16B
17A	17B		18B	18A

TOTALS _____ _____   _____ _____

Total the numbers of items circled in each column and write it on the spaces above.

Now, compare the "O" column with the "G" column and circle the letter that has the highest total.

O   or   G

Then compare the "D" column with the "I" column and circle the letter that has the highest total.

D   or   I

3

SUPPORTER/RELATER

- Harmonizer
- Values acceptance and stability in circumstances
- Slow with big decisions; dislikes change
- Builds networks of friends to help do work
- Good listener; timid about voicing contrary opinions; concerned for others' feelings
- Easy-going; likes slow, steady pace
- Friendly & sensitive; no person in unlovable
- Relationship Oriented

ANALYZER/THINKER

- Assessor
- Values accuracy in details & being right
- Plans thoroughly before deciding to act
- Prefers to work alone
- Introverted; quick to think and slow to speak; closed about personal matters
- Highly organized; even plans spontaneity!
- Cautious, logical, thrifty approach
- Thoughtful; no problem is too big to ponder
- Idea Oriented

PROMOTER/SOCIALIZER

- Entertainer
- Values enjoyment and helping others with the same
- Full of ideas and impulsive in trying them
- Wants to work to be fun for everyone
- Talkative and open about self; asks others' opinions; loves to brainstorm
- Flexible; easily bored with routine
- Intuitive, creative, spontaneous, flamboyant approach
- Optimist; nothing is beyond hope
- Celebration Oriented

CONTROLLER/DIRECTOR

- Commander
- Values getting the job done
- Decisive risk taker
- Good at delegating work to others
- Not shy but private about personal matters; comes on strong in conversation
- Likes to be where the action is
- Take charge, enterprising, competitive, efficient approach
- Fearless; no obstacle is too big to tackle
- Results Oriented

4

COMMUNICATION STYLES EXERCISE

Identify the communication style of each person described below. Simply use a letter S (Supporter/Relator); C (Controller/Director); P (Promoter/Socializer); A (Analyzer/Thinker).

1. _____George can quickly tell what's going on in any situation and is not afraid to speak out about what should be done. He doesn't follow the latest fad, but wears clothes that are practical. When you first meet George, you notice he is friendly. Later you realize he hasn't told you much about his personal life. You go out to lunch with George. He orders steak medium rare, but the meat is served nearly raw. George shouts for the waiter, and complains loudly. The waiter apologizes and takes the steak back to be cooked longer, but George doesn't want to wait. He demands to see the manager and tells her in the future he'll eat elsewhere. You both grab a lunch at a drive-through and are back at the office in time for George's next meeting.

2. _____Dave is really a nice guy. He's open and always willing to listen. On his desk are lots of photos with family and friends, many of them taken at Disneyland, the "happiest place on earth." Dave usually dresses in soft, warm colors, and hates to wear a coat and tie. You go out to lunch with Dave and he orders steak, well done. When he cuts into it, however, it's overdone and tough. He doesn't say a thing to you, and continues to eat. The waiter comes by and asks, "How is your steak?" Dave hesitantly replies he's sorry to say he likes his steak a little more tender. "Would you like me to take it back?" Dave answers, "Only if it's not too much trouble."

3. _____Jean is a rather complicated person. She cares a lot about what others think of her, but she is sometimes callous about the feelings of others. So she's both sensitive and insensitive. It can be confusing! There is no confusion about one thing-Jean is an excellent planner. She gathers all the data and can foresee potential problems. She researches ways to avoid them, at little cost to the company. At her desk, Jean displays her college diploma, framed, and a list of company policies. You go out to lunch with Jean, who orders steak medium well. It's a shade too pink for her, so she requests the waiter to have the chef cook it for exactly 2 and a half minutes more.

4. _____Caroline is a popular person with a big ego. She gets into many circumstances where she is the one to confront problems, because she knows how she thinks and feels about may issues. Caroline speaks her mind, but doesn't like to alienate others in the process. So she tries to make them feel good, about themselves and her. Caroline has a large closet full of clothes with lots of color, texture and bold designs. At her desk is a blown-up photo of her and the company president having fun at last year's Christmas party. You go out to lunch with Caroline and the steak is not cooked to her liking at all. She calls the waiter over immediately and asks for another plate. She quickly decided to try something else. "Bring me the sword fish special instead!"

5

Conflict Exercise
Veginots

Role Sheet for Dr. Richards

You are a research scientist who is working on some secret projects for national security. You accidentally discovered that Zeno, a substance that your group created, would neutralize radioactive fallout. By the time you made this discovery, there was very little Zeno left. None of the ingredients of Zeno are difficult to obtain except veginot seeds. The veginot, an experimental melon, takes four months to produce the seeds needed for Zeno.

It has been confirmed that a group of terrorists are planning to set off a nuclear bomb within a few days in a certain Middle-East country. Although the target city is unknown, several are most likely. If enough Zeno is available, it can be used to seed clouds over these cities. Your experiments indicate that the rain produced by these clouds will protect a city from fallout if the nuclear explosion occurs within two weeks. Naturally, the cloud seeding must be kept secret.
Your search has turned up only one crop of mature veginots. This crop is just large enough to produce enough Zeno to seed clouds over the cities that are potential targets for the bomb. The owner of the crop will sell it to the highest bidder.

Dr. Jones, a researcher for a small competitor of your company, is also in need of veginots for some sort of research on a rare disease. Jones knows about the available veginots and intends to buy them.

The Federal government, though not as convinced as you are about the value of

Zeno, has authorized you to offer up to $3 million to obtain the veginot seeds. However, you have decided to talk to Dr. Jones before approaching the owner of the veginot crop. You hope to persuade Jones not to bid on the crop.

Conflict Exercise
Veginots

Role Sheet for Dr. Jones

You are a research scientist who recently developed a vaccine to prevent Stache, a children's disease that permanently disfigures the victim and can cause brain damage. The disease had been extremely rare, and your research was not considered particularly valuable. However, there has now been an outbreak in a small community, and several thousand children are in danger if they do not immediately receive a vaccine for Stache. The consequence of no vaccine, of course, could be a nationwide or worldwide epidemic.

If the company for which you work can produce enough vaccine to stop the potential epidemic, it will probably receive enough government grants to bring it out of its precarious financial position. And, of course, it will receive worldwide publicity for its contribution to humanity. Needless to say, you will be the star of the entire episode.

Unfortunately, the veginots, which you use to develop the vaccine, are rare. The veginot, an experimental melon that has a toxic rind when it matures, takes four months to produce the toxin. You need the toxin for your vaccine, and the crop you were depending on was killed by an unseasonable freeze just prior to the outbreak of Stache. Therefore, you must obtain mature veginot rinds immediately or it will be too late to prevent the spread of Stache.

Your search has turned up only one crop of mature veginots. This crop is just large enough to produce the vaccine needed for the children who are in imminent danger of Stache, and the owner of the crop will sell it to the highest bidder.

Dr. Richards, a researcher employed by a successful competitor of your company, is also in need of veginots. You are not sure of the type of research Richards is doing, but it has something to do with national security. Richards knows about the available veginots and intends to buy them.

You have been authorized to obtain the veginot rinds that you need, and your company is willing to pay $3 million. However, you have decided to talk to Dr. Richards before approaching the owner of the veginot crop. You hope to persuade Richards not to bid on the crop.

Developing and Evaluating Test Items

Rosemarie Suhayda PhD RN

Associate Provost Institutional Research, Assessment and Accreditation

Janet Engstrom PhD

Professor, College of Nursing

Unit Objectives

- Identify strengths and limitations of essay and multiple choice test items

- Construct effective essay and multiple choice test items

- Interpret a basic item analysis

Purposes of Testing

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- Communicate to students what material is important

- Identify areas of deficiency in need of remediation or further learning

- Identify areas where the course/curriculum is weak

What should be tested

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- Exam content should match course / clinical / clerkship objectives

- The sample of items should be representative of the instructional goals

- Important topics should be weighted more heavily than less important topics

- The testing time devoted to each topic should reflect the relative importance of the topic

National Board of Medical Examiners

Basic steps in developing test items

- Determine the outcomes to be measured
- Develop a test blueprint
- Write the test items
- Review, critique and edit the items
- Pilot the items
- Obtain reliability and validity data
- Revise, reuse and report

Categories of test items

- Subjective items -- permit the student to organize and present an original answer

- Objective items-require students to select a correct response from several alternatives or to supply a word or short phrase to answer the question

Strengths of essay items

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- Effective in measuring higher level cognitive objectives

- Less time consuming to construct

- Discourage memorization of facts and encourage broader understanding of complex ideas

- Present a more realistic task to the student

Limitations of essay items

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- Sample less content

- Require long time to grade

- Difficult to score objectively and reliably

Writing good essay items

- Clearly define the task
  - Poor: discuss Karl Marx's philosophy
  - Better: compare Marx and Nietzche in their analysis of underlying problems of their day in the 19th century Europe.
- Use a relatively large number of questions requiring short answers
- Avoid use of optional questions on an essay test

Writing good essay items

- Indicate for each question the number of points to be earned for the correct response

- Avoid writing essay items that only require students to demonstrate certain factual knowledge

Scoring Essays

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- Develop a grading rubric
- Grade papers anonymously
- Read and score the answers to one question before going on to the next
- Shuffle the papers after each item is scored to reduce context effect
- Decide in advance how to treat grammar, writing style, irrelevant responses
- Write comments on students' answers

Strengths of multiple choice items

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- Versatility in measuring all levels of cognitive skills
- Permit a wide sampling of content and objectives
- Provide highly reliable test scores
- Can be machine-scored quickly and accurately

Limitations of multiple choice items

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- Difficult and time-consuming to construct

- Depend on student's reading skills and instructor's writing ability

- Tend toward low level knowledge items vs. higher level thinking

- May encourage guessing

Components of multiple choice items

- Stem—text of the question
- Options—choices provided
  - Key—correct option
  - Distracters—incorrect options

Writing multiple choice items

- Include items that measure students' ability to comprehend, apply, analyze, and evaluate as well as recall
  - Multilogical thinking
    - Must know more than one fact to logically and systematically apply concepts
    - If you can find the answer on one page of a textbook it probably is not a critical thinking item

Not a critical thinking item

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1. The antidote for magnesium toxicity is
    a) Calcium gluconate
    b) Naloxone
    c) Protamine sulfate
    d) Vitamin K

Critical thinking item

1. A pre-eclamptic woman receiving an infusion of magnesium sulfate presents with respirations of 6/minute and absent deep tendon reflexes. The health care provider should

   a) Administer oxygen 2 liters per minute

   b) Administer naloxone

   c) Administer calcium gluconate

Measuring higher level objectives

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- Present practical or real world situations to the students

- Present students with a diagram, picture, charts, sound and ask for application, analysis or evaluations

- Present actual quotations published sources and ask for the interpretation or evaluation of the quotation.

Technical item flaws

- Grammatical cues
  1. The correlation coefficient is called a
     a) Validity coefficient
     b) Index of reliability
     c) Equivalence coefficient

Technical flaws

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- Absolute terms such as "always" or "never" are used as an option

    1. In patients with advanced dementia, Alzheimer's type, the memory defect

        a) Can be treated adequately with phosphatidyl-choline (Lecithin)

        b) Could be a sequela of early parkinsonism

        c) Is never seen in patients with neurofibrillary tangles at autopsy

        d) Is never severe

Technical flaws

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- Long correct answer

    1. Secondary gain is

        a) Synonymous with malingering

        b) A frequent problem in obsessive-compulsive disorder

        c) A complication of a variety of illnesses that tends to prolong progress and recovery

        d) Never seen in organic brain damage

Technical flaws

- Word repeats

1. A 58 year old man with a history of heavy alcohol use and previous psychiatric hospitalization is confused and agitated. He speaks of experiencing the world as unreal. This symptom is called

    a) Depersonalization
    b) Derailment
    c) Derealization
    d) Focal memory deficit

Technical Flaws

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- "None of the above" or "all of the above" are used as options

Technical flaws

- Items with implausible distracters
  1. If living cells were found on another planet without molecular oxygen, which cell part would most likely be absent?
     a) Cell membrane
     b) Mitochondria
     c) Nucleus
     d) Cellulose

Items with irrelevant difficulty

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- Stem contains extraneous reading

  1. Peer review committees in HMO's may move to take action against a provider's credentials to care for participants of the HMO. There is an associated requirement to assure that the physician receives due process in the course of these activities. Due process must include which of the following?

Items with irrelevant difficulty

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- Options are long, complicated or double
  1. Due process must include
     a) Notice, an impartial forum, council, a chance to hear and confront evidence against him/her
     b) Proper notice, a tribunal empowered to make the decision, a chance to confront witnesses against him/her, and a chance to present
     c) Reasonable and timely notice, impartial panel empowered to make a decision, a chance to hear evidence against himself/herself and to confront the witness

Items with irrelevant difficulty

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- Numeric data are not stated consistently
  1. Following a second episode of infection, what is the likelihood that a woman is infertile?
     a) Less than 20%
     b) 20%-30%
     c) Greater than 50%
     d) 90%
     e) 75%

Arrangement of options

- Arrange options
  - Alphabetically
  - In order of magnitude if numerals
  - In temporal sequence
  - Length of response

Items with irrelevant difficulty

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- Avoid multiple multiples

  Which vaccines can safely be administered during the first trimester of pregnancy?

  1. Influenza
  2. Hepatitis B
  3. Tetanus

  A. 1 only
  B. 1 and 2
  C. 2 and 3
  D. 1, 2 and 3

Items with irrelevant difficulty

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- Frequency terms are vague
    1. Severe obesity in early adolescence
        a) Usually responds dramatically to dietary regimens
        b) Often is related to endocrine disorders
        c) Usually responds to pharmacotherapy and intensive psychotherapy

Basic rules for multiple choice items

- Include words in the stem that would otherwise be repeated in each option
  - Poor: Sociobiology can be defined as
    - The scientific study of humans and their relationships within the environment
    - The scientific study of animal societies and communication
  - Better: Sociobiology can be defined as the scientific study of
    - Humans and their relationships within environments
    - Animal societies and communication

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Basic rules for multiple choice items

- Each item should focus on an important concept

- Each item should assess application of knowledge, not recall
  - Don't waste time assessing knowledge of trivial acts.

Basic rules for multiple choice items

- Provide a minimum of three but not more than five plausible and attractive options.

1. The recent (1989) research suggesting that controlled nuclear-fusion could be effected in a laboratory experiment at room temperature was conducted by:
   a) Watson and Crick
   b) Pons and Fleischmann
   c) Koch and Jenner
   d) Fermi and Bohr

Basic rules for multiple choice items

- Make sure there is only one correct or best response
  - Poor: The function of the hypothesis in a research study is to provide
    - Tentative explanation of a phenomena
    - Proven explanation of a phenomena
    - Framework for interpretation of the findings
    - Direction for the research
  - Better: According to the lecture, the most important function of the hypothesis is to

Basic rules for multiple choice items

- Avoid minor distinctions and "hair splitting"

- Make all options for an item approximately homogeneous in content, form and grammatical structure.

Basic rules for multiple choice items

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- Use negatively stated stems sparingly
- Randomly distribute the correct response among the alternative positions throughout the test
- Make items independent of other items
- Avoid language that students won't understand
- Avoid the use of names and cute scenarios

Basic rules for multiple choice items

- Avoid humor
  - Good test questions are NOT funny, creative, cute
  - Exams are not funny
  - Exams are a serious undertaking and impact a student's short and long term future
  - Humor does not work on an exam!

Basic rules for multiple choice items

- Group questions on related content
- If an exam is going to include information on 4 modules, put the information about each module together

Test item housekeeping

- There are no absolute rights and wrongs about the format of a test item
  - Consistency, however, is very important

Test item housekeeping

- The STEM
  - Colons are *not* used at the end of a completion
    - It is best for the provider to . . .
  - No blank line between the stem and the choices

Test item housekeeping

- The OPTIONS
  - Options that follow a question begin with a capital letter
  - Options that follow a completion begin with a lower case letter
  - All options should end in a period if they
    - Complete a sentence
    - Are a sentence

Test item housekeeping

- The present tense should be used when possible

- Drugs are written with the generic name first, with a lower case letter. Trade names are capitalized and placed in parentheses

Test reliability

- A measure of the consistency of test scores

- Assessed as internal consistency
  - Inter-item consistency or correlation

Test reliability

- Reported as a correlation coefficient

- Specific type of reliability coefficient

   – *Kuder-Richardson-20*

- Analogous to *Cronbach's alpha*

Test reliability

- The correlation coefficient can vary from 0.1-0.99

- Higher is better

- Ideal reliability for "teacher-made" test is 0.7 or higher

- Reliability is lower for tests in schools with high admission criteria, so 0.6 is acceptable in those schools

How to improve test reliability

- Lengthen the test

- Improve the discrimination of individual items

Basic item analysis

- Three essential statistics
  - Response frequency
  - Difficulty level
  - Item discrimination

Response frequency

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- The number of students that choose each response

Difficulty level

- Also called the "Difficulty index"

- Reported as the "P-value"

- It is simply the percentage of students who answered the question correctly

- If the P-value is .63, that means that 63% of the students answered the question correctly

Difficulty level

- Ideal Difficulty Level for
  - 3 alternative = 0.67
  - 4 alternatives = 0.63
  - 5 alternatives = 0.60

Difficulty level

- Lower limit of an acceptable Difficulty Level is 0.30

Difficulty level

- Upper limit of acceptable Difficulty Level is usually 0.90

- Schools with high admission standards may see higher (>0.90) Difficulty Levels

- Criterion-referenced (competency) testing should have perfect or near-perfect scores

- Ideally, the proportion of items above 0.90 should be small to allow better discrimination

Item discrimination

- Class is usually divided into quartiles (upper 25%, lower 25%) based on the exam score (high scorers, low scorers)

- Point biserial correlations are performed using the upper and lower quartiles

- The individual student performance for each item (correct/not correct) is correlated with their quartile (high score/low score)

Item discrimination

- Reported as a correlation coefficient
- Varies from -1.00 to +1.00

Item discrimination

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- A correlation of zero means equal numbers of high and low scoring students selected the correct answer (did not discriminate)

- A positive correlation occurs when students in the high scoring group selected the correct answer (discriminated)

Item discrimination

- A negative correlation (between -1.00 and zero) means that more students in the low scoring group selected that option than did students in the high scoring group (negative discriminator)

Item discrimination: Point biserial

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- Interpretation
  - 0.30 or above – very good item
  - 0.20 to 0.29 reasonably good item
  - 0.09 to 0.19 marginal item
  - 0.08 and below—review and rewrite; may need to be nullified

What to do with a problem item

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- Do not throw out an item . . . It is unfair to students

- Options are to
  - Accept more than one answer
  - Nullify the item. . . Everyone gets credit

Test blueprinting

Purpose

- Helps achieve balance between instruction and assessment

- Helps ensure that a test will sample all important content and process areas

- Provides a structure for communicating with students before and after a test

Test blueprinting

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- Matrix Design

- Content to be tested

- Thinking or cognitive processes to be tested

- Relative weight ascribed to both the content and cognitive areas

Test blueprinting

- Categorize each test item according to the thinking or cognitive level, objective and content area. Number each test item.

- Make a 2-way grid with cognitive level across the top and course content along the side

- Number course objectives and unit objectives. Write either the objective or the corresponding number under the content section in the blueprint matrix.

Test blueprinting

- Write the percentage of questions you believe should be included within each cell of the matrix. Convert the percentage to the number of items that should be tested.

- Write the # of the test item in the cell that aligns with its respective cognitive level and content area or objective being tested

Test blueprinting

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Course Objective	Unit Objective Test item	Remembering Comprehension		Application Analysis	Evaluation Synthesis	Total
			Item #			
#1	#2 #3	5% (3) (2)	1, 10, 14, 18, 25	10% (10)	10% (10)	15% (15) 10% (10)
#2	#1 #4 #5	5% (3) (2)	2, 50, 52, 55, 75,	10% (10) 20% (20)	10% (10) 10% (10) 20% (20)	20% (20) 35% (35) 20% (20)
Total		10% (10)		40% (40)	50% (50)	100% (100)

Questions

Talent Management @ Rush

Kurt Olson, PhD

VP Talent Management and Leadership Development

Objectives

- Provide an overview of Talent Management
- Make Talent Management relevant for each of you

What is Talent Management?

Talent Management Lifecycle

*Our **talent** is our **most important asset** and the TM Lifecycle is how we continue to view and enhance the RUMC **employee experience***

RUMC Strategic Goals

Talent Acquisition

Talent Development

RUMC Culture

Talent Assessment and Alignment
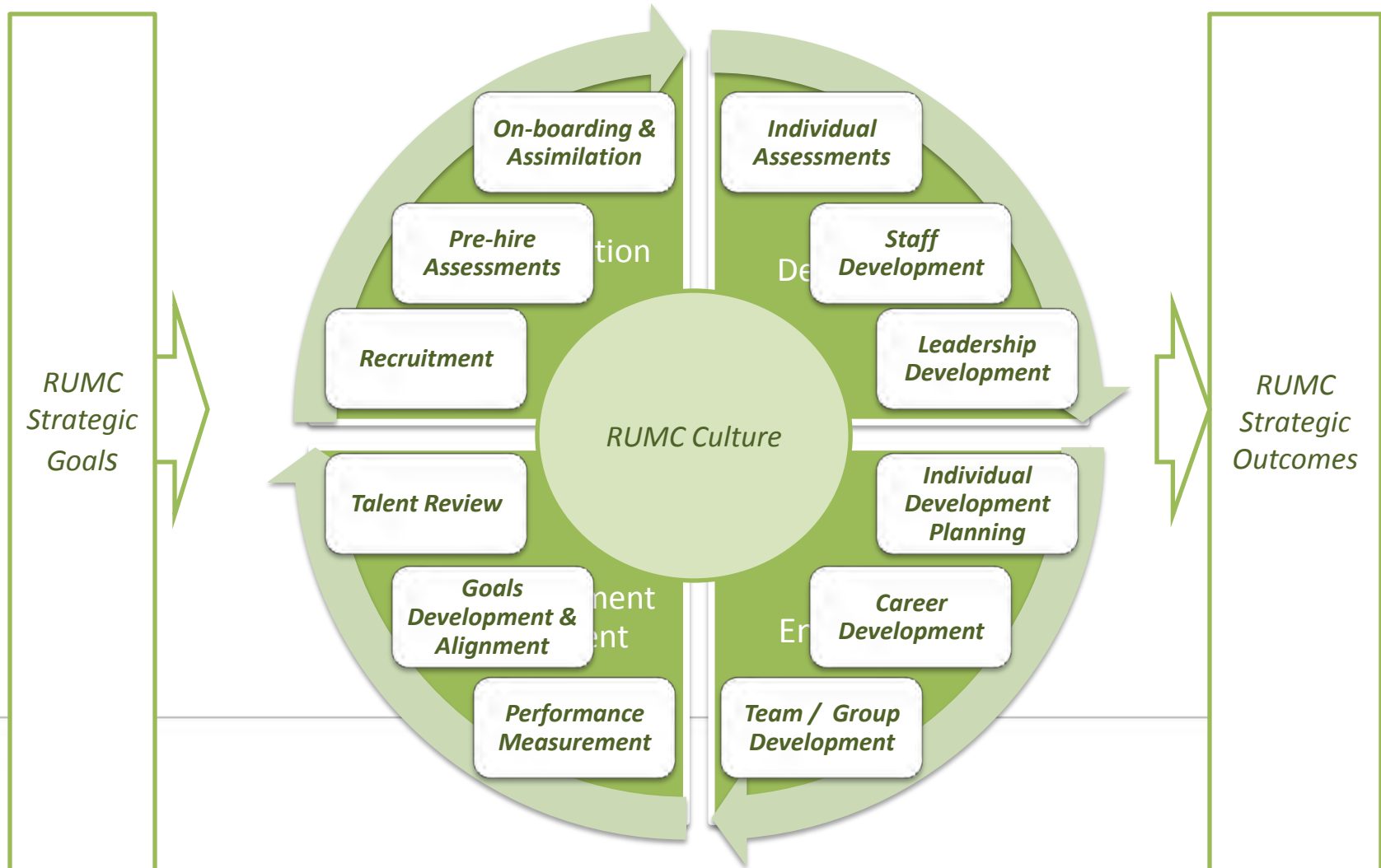
Talent Engagement

RUMC Strategic Outcomes

Talent Management Lifecycle

*Our **talent** is our **most important asset** and the TM Lifecycle is how we continue to view and enhance the RUMC **employee experience***

RUMC Strategic Goals

On-boarding & Assimilation

Pre-hire Assessments

Recruitment

Talent Review

Goals Development & Alignment

Performance Measurement

RUMC Culture

Individual Assessments

Staff Development

Leadership Development

Individual Development Planning

Career Development

Team / Group Development

RUMC Strategic Outcomes

Why does Rush need Talent Management now?

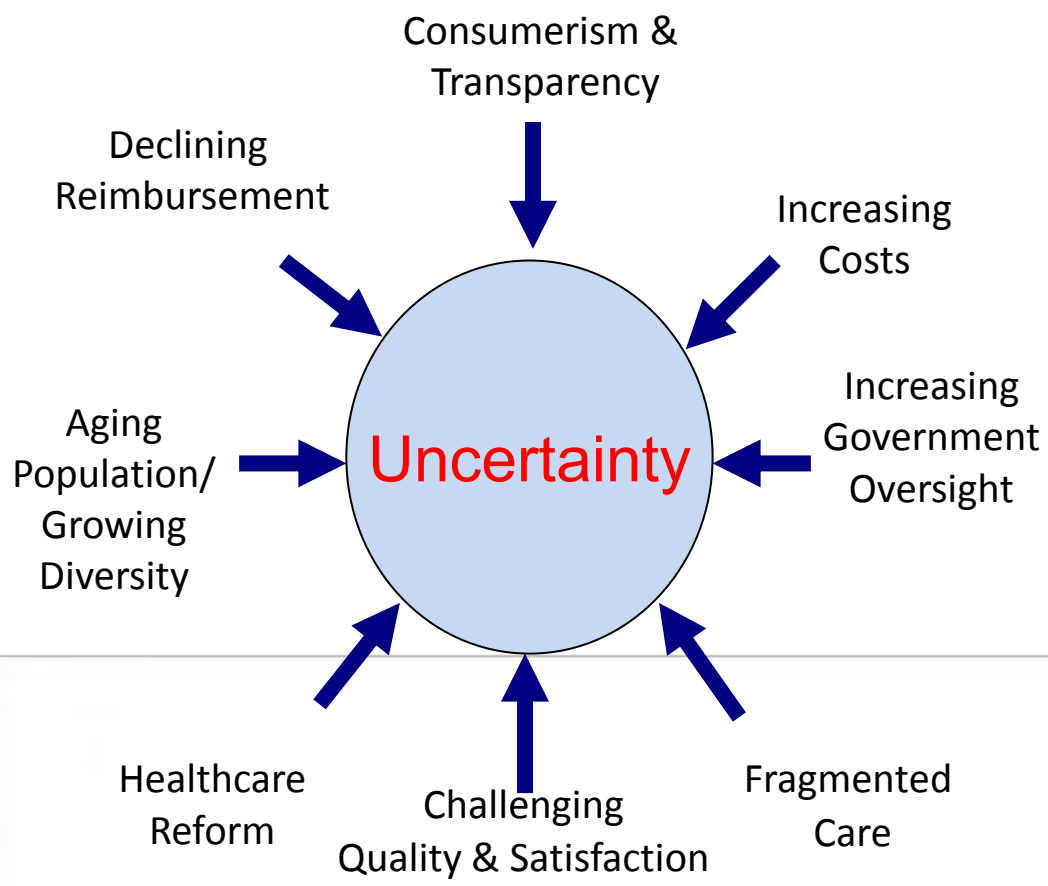# Things are changing in healthcare

Yesterday	Tomorrow
Fee for Service	Value-Based Reimbursement
Event-driven Care	Wellness/Preventative/Continuous Care
Inpatient-Focused	Ambulatory/Home-Focused
Individuals	Population
Treat the people who are ill	Keep people well, prevention
Steady to increasing reimbursements	Decreasing reimbursements
Limited access to hospital information	Transparency of information, Consumer Self-Service
Uniformed patients	Well-informed consumers

…but healthcare isn't unique

Other industries have gone through similar turbulent times….

Health Care Environment

Parallels Other Industry Context

Consumerism & Transparency

Declining Reimbursement

Increasing Costs

Aging Population/ Growing Diversity

Uncertainty

Increasing Government Oversight

Healthcare Reform

Challenging Quality & Satisfaction

Fragmented Care

What are Rush's leaders saying about the importance of this?

You are critical to achieving our vision

To continue to provide the best possible care now and in the future, we need to develop our leadership talent to recognize new opportunities in their work and in health care overall and to anticipate and successfully manage new challenges that arise.
- Dr. Larry Goodman, Chief Executive Officer
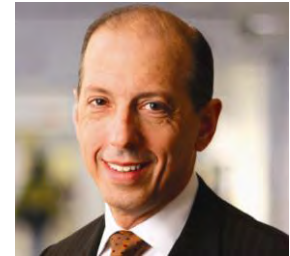
We are committed to providing the education and skills, the experiences and the ongoing conversations – to build the competencies required – for Rush to grow and to excel during a continued period of change and challenge in health care.
-Peter Butler, President and Chief Operating Officer

What have we done so far, a few highlights?

RUMC Talent Management Lifecycle

To bring TM to life, below are some examples of recent enhancements across the TM Lifecycle and also a few keys areas of emphasis for the remainder of FY14.

- Recruitment
  - ☑ Automated Pre-hire Paperwork
  - ☑ Online Reference Checking
  - ❑ Pre-hire Assessments
  - ❑ Leadership Assessments
- On-Boarding & Assimilation
  - ☑ New Employee Welcome
  - ❑ Executive Assimilation
- Goals Development & Alignment
  - ❑ Cascading RUMC Goals in Performance Management
- Staff Development
  - ☑ RUMC-wide Microsoft Training
- Leadership Development
  - ☑ Leadership Development Competencies
  - ❑ Leadership Development Academy
- Performance Measurement
  - ☑ Consistent Engagement Outcome Goals

- Engage
  - ☑ Engagement on Rush Scorecard & Performance Mngt
  - ☑ Personal Engagement List
  - ☑ 30-Day Challenge
  - ☑ Action Planning
  - ❑ VP Action Plan Review
  - ❑ RUMC Employee Experience
- Individual Development Planning
  - ❑ IDP Implemented in Performance Management
- Career Development
  - ❑ Career Development Options Defined
- Talent Reviews
  - ☑ SVP, VP, AVP, and Director Talent Reviews
  - ❑ Departmental Talent Reviews
- Succession Planning
  - ❑ SVP. VP. AVP., and Director Success Planning
- Values
  - ❑ I CARE Refresh

What does this mean for each of you?

Talent Management Lifecycle

*Our **talent** is our **most important asset** and the TM Lifecycle is how we continue to view and enhance the RUMC **employee experience***

14
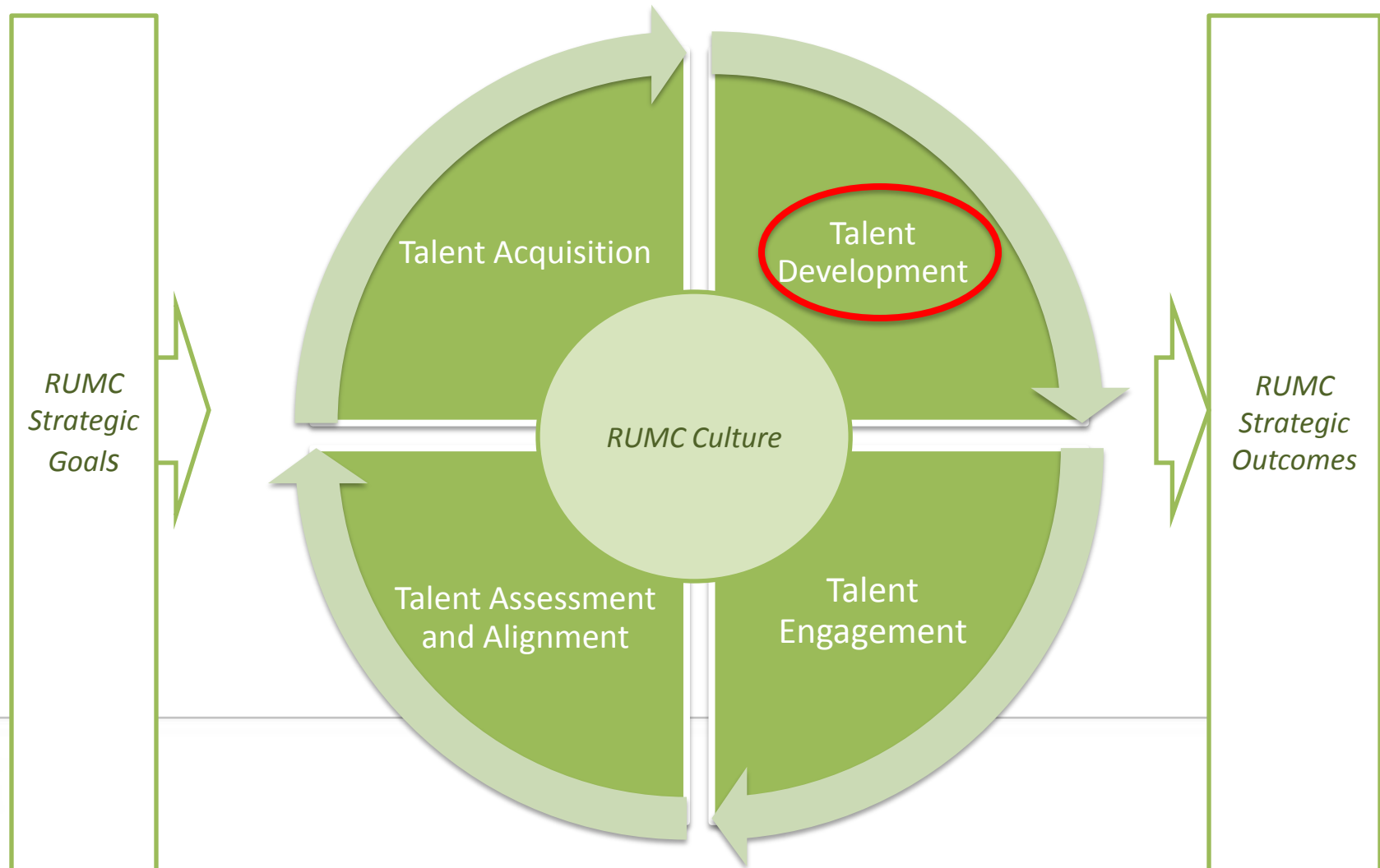
DiSC

A tool to help you understand yourself and others

Survey

- Complete the tool considering how you **act and think** when you are at **work**

- Rank the words in the order in which they describe you

- Most like you: 4

- Least like you: 1

- First gut response

A Little History

- In the 1920's, while everyone else was studying <u>abnormal</u> behavior…

- William Marsten
  - Studied behavior in normal people
  - Identified patterns of behavior in how we act in our environment

Behavior Can Be…

- Observed
- Based on thoughts and beliefs
- Based on the situation
  - Dynamic
  - Flexible

The Four Dimensions:
Review Your Profile

- **D - Dominance**

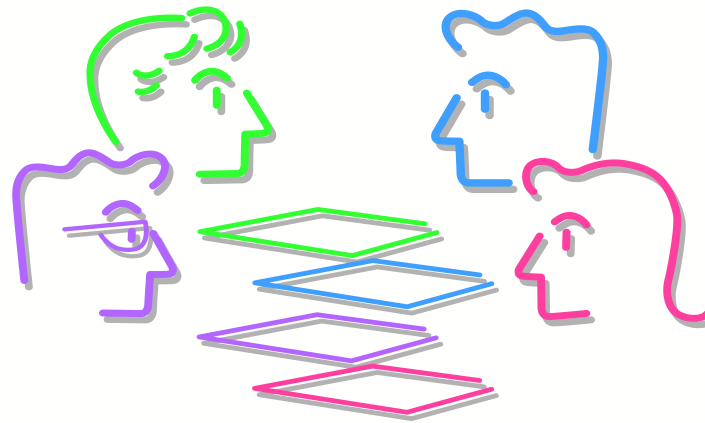- **i - Influence**

- **S - Steadiness**

- **C - Conscientiousness**

In Pairs

...of mixed DiSC styles

In Pairs or Threes

- You are a _____
- Your coworker is a _____
- How are your preferred styles different?
- What might you need to do to change your style when collaborating?
  - How can you adapt you style to better match your coworker's style?
  - In what circumstances do you/might you feel tension with someone with a different DiSC profile?
  - When you feel tension, what can you do to adapt?

But what is someone doesn't share their style?

...how do I read others?

People-Reading Principles

- Not for labeling, but for understanding

- No good or bad styles

- All have strengths and limitations

- Everyone is a mixture of styles

People-Reading Principles

Observe actual behavior

- Body language

- Tone of voice and expression

- Choice of words

People Reading

- Think of someone who you have a hard-time connecting with or have some conflict with
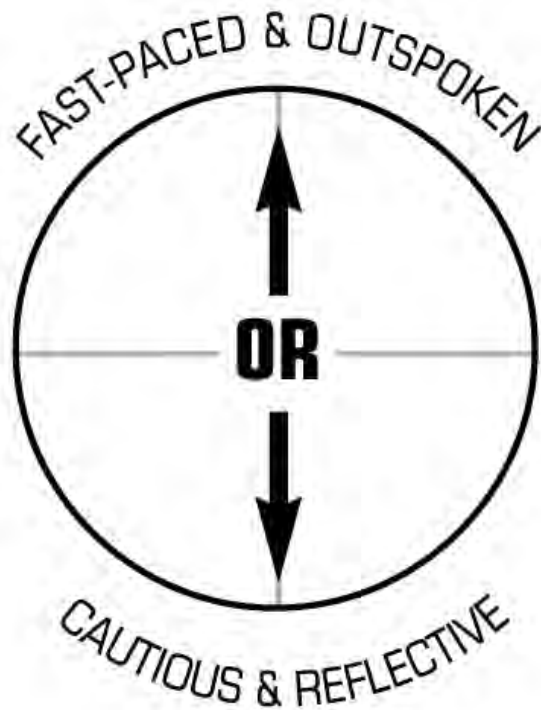- With that person in mind, let's try to determine their preferred style

A Tool for You

People-Reading Method

1.

FAST-PACED & OUTSPOKEN
OR
CAUTIOUS & REFLECTIVE

2.

QUESTIONING & SKEPTICAL
OR
ACCEPTING & WARM
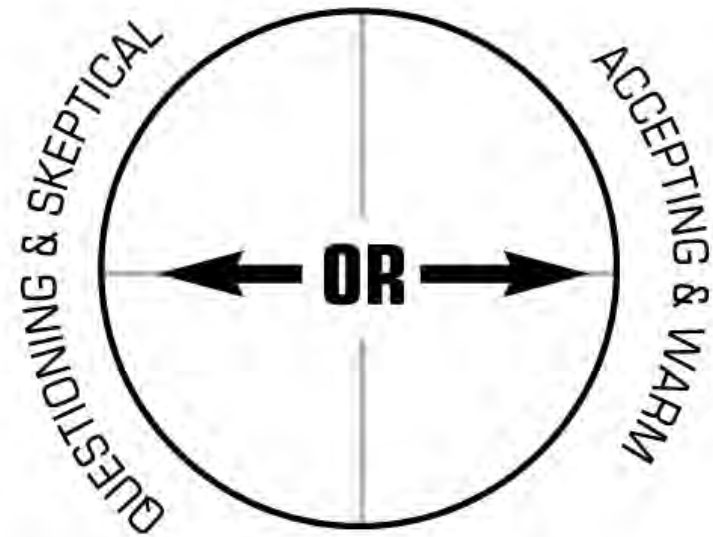
People-Reading Method

3.
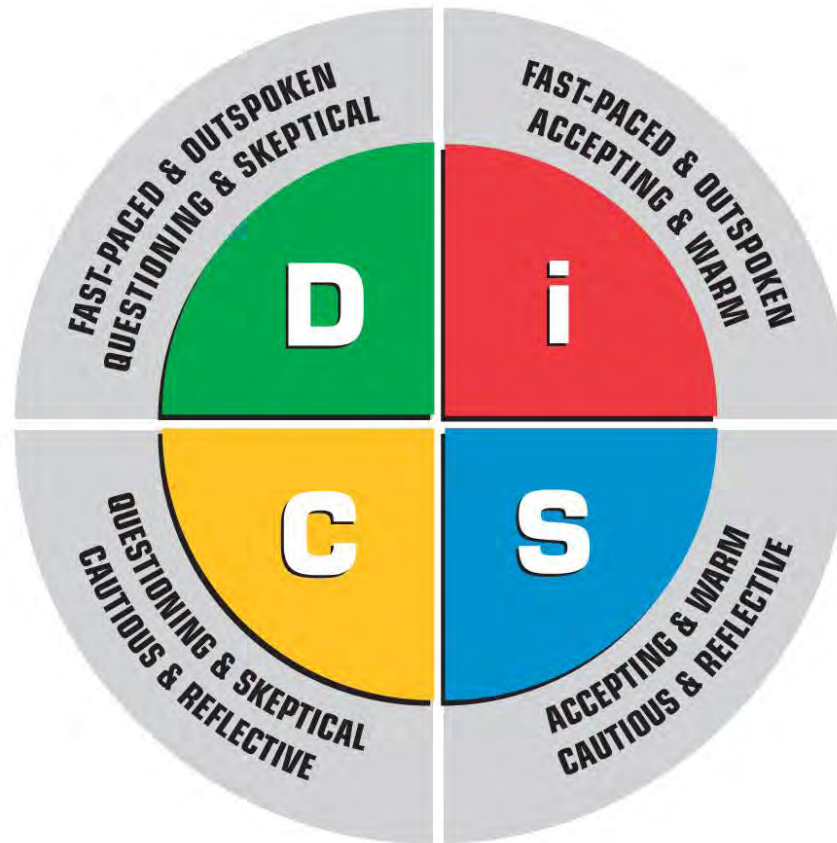
Individually

- You are a _____
- The person you are thinking about is a _____
- How are your preferred styles different?
- What might you need to do to change your style when collaborating?
  - How can you adapt you style to better match your coworker's style?
  - In what circumstances do you/might you feel tension with someone with a different DiSC profile?
  - When you feel tension, what can you do to adapt?

You are a D

Flex by:

- Accept limits and ways of doing things
  - Don't try to change everything
- Allow others to make decisions
- Pace oneself and know when and how to relax
- Understand that others need people contact

Your Coworker is D

Flex by:

- Be direct and to the point, "this is what we need done today"

- Ensure that communications were heard

- Give her/him some control over assignments

- Look for challenges

You are an i

Flex by:

- Recognize that others may have difficulty with change

- Realize that deadlines are priorities for others

- Try to be more organized and systematic

- Be more firm and direct

Your coworker is an i

Flex by:

- Provide reasonable time to interact
- Give verbal and public recognition
- Assist in organizing their day
- Check in with them during the day
- End interactions with clearly defined expectations

You are an S

Flex by:

- Accept opportunities for new and different things

- Be more aware of when to delegate to others

- Learn to be more assertive with people in taking charge of certain situations

Your Coworker is an S

Flex by:

- Acknowledge the workgroup's efforts & desire to be helpful to others

- Provide opportunities for teamwork

- Ask for the workgroup's input

- Keep workgroup informed of plans for change

You are a C

Flex by:

- Acknowledge talents and contributions of others

- Recognize the person, not just the task

- Be more tolerant of perceived imperfections of others

Your coworker is a C

Flex by:

- Showing appreciation by "you captured all the details"
- Acknowledging their need to have the facts and data
- Showing them policy and procedures, standards of care

Objectives

- Provide an overview of Talent Management
- Make Talent Management relevant for each of you

Talent Management @ Rush

WILEY

DiSC® DiSC® Preview

Name: Date: Response Focus:

Center for Internal Change
Inc.

Instructions
DiSC® Preview

❶ Respond
Consider the 10 groups of words below while thinking about yourself in a selected focus (e.g., work, home, or school). In each group, rank the words by assigning **4 points** to the word that is *most like you*, 3 points to the word that is *like you*, **2 points** to the word that is *somewhat like you*, and 1 point to the word that is *least like you*.

❷ Reveal
Use a silver coin or other metal object to rub on the ovals to the right of each word. A letter — **D**, **i**, **S**, or **C** — will appear. After you have revealed the letters in all the ovals, total the points for each letter and write them on the lines below.

___**D**	___**i**	___**S**	___**C**

Circle the letter with the highest point total, and put a check by the letter with the second highest total. The letter you circled is your primary DiSC® Dimension of Behavior, and the letter you checked is your secondary Dimension of Behavior.

❸ Gain Insight
Using the letter you circled, look at the DiSC Dimensions of Behavior Map at the top of the next page to get a quick overview of key characteristics and personal preferences in the behavioral dimension you most strongly prefer. Then read the description for the letter you checked to learn more about your secondary dimension. Reading the remaining dimensions will help you better understand your tendencies in those dimensions and the behavioral tendencies of others.

NAME: _____   DATE: _____

RESPONSE FOCUS: _____

1
- _____ Enthusiastic ◯
- _____ Bold ◯
- _____ Conscientious ◯
- _____ Friendly ◯

2
- _____ Logical ◯
- _____ Attractive ◯
- _____ Good-natured ◯
- _____ Outspoken ◯

3
- _____ Agreeable ◯
- _____ Outgoing ◯
- _____ Daring ◯
- _____ Careful ◯

4
- _____ Strong-willed ◯
- _____ Tactful ◯
- _____ Sympathetic ◯
- _____ Charming ◯

5
- _____ Gentle ◯
- _____ Well-disciplined ◯
- _____ Talkative ◯
- _____ Pioneering ◯

6
- _____ Competitive ◯
- _____ Even-tempered ◯
- _____ Good mixer ◯
- _____ Thorough ◯

7
- _____ Sociable ◯
- _____ Dominant ◯
- _____ Controlled ◯
- _____ Easygoing ◯

8
- _____ Reserved ◯
- _____ Appealing ◯
- _____ Kind ◯
- _____ Direct ◯

9
- _____ High-spirited ◯
- _____ Amiable ◯
- _____ Vigorous ◯
- _____ Accurate ◯

10
- _____ Restless ◯
- _____ Expressive ◯
- _____ Diplomatic ◯
- _____ Considerate ◯

DiSC® Dimensions of Behavior Map

Dominance

- Motivated to solve problems and get immediate results.
- Tends to question the status quo.
- Prefers direct answers, varied activities, and independence.

"I like being my own boss."

"I know what I want and I go after it."

"I like to test myself with new challenges."

Influence

- Motivated to persuade and influence others.
- Tends to be open, verbalizing thoughts and feelings.
- Prefers working with people rather than alone.

"I enjoy telling stories and entertaining people."

"I get fired up about things."

"I like freedom from control and detail."

Steadiness

- Motivated to create a stable, organized environment.
- Tends to be patient and a good listener.
- Prefers participating in a group rather than directing it; also prefers listening more than talking.

"I like working with people who get along."

"I enjoy helping people."

"I can be counted on to get the job done."

Conscientiousness

- Motivated to achieve high personal standards.
- Tends to be diplomatic, carefully weighing pros and cons.
- Prefers environments with clearly defined expectations.

"I enjoy analyzing things."

"I prefer facts to emotions."

"I enjoy working with people who are organized and have high standards."

DiSC® Dimensions of Behavior helps you discover and capitalize on your unique behavioral strengths. DiSC can also help you better respond to the communication needs of other people. Use **Strategies for Success** as a guide to more successful interaction with others.

Strategies for Success

Dominance

If you emphasize Dominance, be aware that others may prefer to weigh pros and cons, to receive an explanation for your decisions, to socialize briefly before getting down to business, and to cautiously approach change.

Influence

If you emphasize Influence, be aware that others may prefer to receive facts and short answers, to use systematic and organized approaches, to benefit from your personal follow-through, and to encounter a low-key, sincere approach.

Steadiness

If you emphasize Steadiness, be aware that others may prefer to focus on the big picture and set priorities, to make decisions quickly, to know your needs and wants, and to challenge the way things are done.

Conscientiousness

If you emphasize Conscientiousness, be aware that others may prefer to deal directly with conflict, to use policies only as guidelines, to openly communicate and negotiate with you, and to understand your rules and standards.
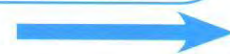
1) What are your behavioral strengths as you relate to others?

2) What do your strengths contribute to a relationship or team?

3) What behavioral strengths of other people are most different from yours?

4) What can you do to have better communication with people whose strengths are different from yours?

What if People Had Their Needs Written All Over Them?

Then you wouldn't need DiSC® to understand the people around you.

But since "need-tags" aren't really an option, there's Everything DiSC®—the new learning tools based on the third generation of the research-validated DiSC assessment.

Everything DiSC is the fastest, easiest way to go from assessment to action, with tips and strategies to connect better with your coworkers and improve your workplace.

Specialized
Application-focused programs improve critical people-skills in the areas of management, sales, leadership, communication, and more.
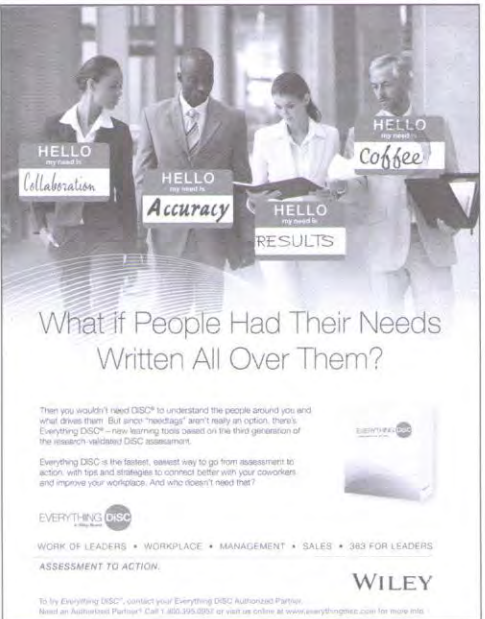
In-Depth
Engaging video, scripted facilitation, and follow-up tools create a complete learning experience that takes you from assessment to action—fast!

Customizable
Meet your organization's needs with easy-to-use features that help you make the program your own.

Personalized
Online assessments provide individualized profiles with tips and strategies for development.

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C-203 1013

Rush University – Faculty Teaching Academy

DiSC Behavioral Assessment: Summary of Each Profile

Each Dot Tells a Story - DiSC Style: "D" Dominance

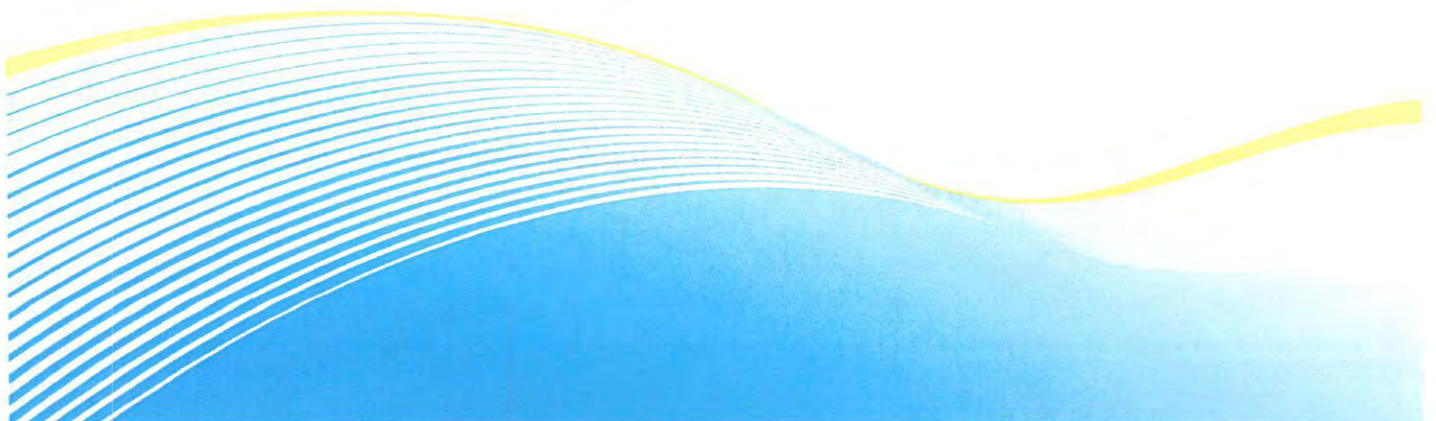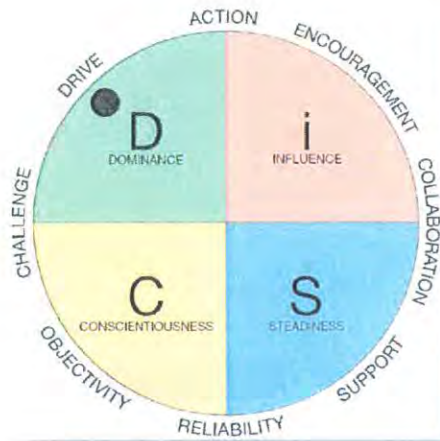One of the words that best describes managers with a D style is driven. They typically prefer to have variety and forward momentum. Because of this, they may become bored or restless if forced to slow down for too long. When the team reaches its goals, they may not always take time to celebrate. Instead, their attention tends to quickly shift to the next goal.

They probably like to get things out the door quickly, and they may emphasize results over how they get there. Consequently, they're probably willing to question the rules when they think they don't make sense. And if they believe something is wrong, they may do whatever it takes to save the situation. At times, they may fail to realize that this forceful approach can be stressful for the people they manage.

Managers with the D style have little patience for small talk, and they may grow restless listening for long periods without the opportunity to speak. They probably dislike managing people whom they see as incompetent, and it may be hard for them to hide their annoyance at times. When they get really upset, they may let their irritation show in their body language and facial expressions.

In terms of time management, they tend to create a sense of urgency for the people they manage. Most likely, they become energized under time pressure and believe other people do as well. Therefore, they may cram in as many activities as possible and become impatient with people who waste time.

Although everyone questions their own decisions from time to time, they probably do it less often than most people. Managers with the D style usually exude self-confidence. This can be infectious, allowing other people to feel good about their bold plans. Because they focus on short-term gains over long-term goals, they're willing to break the rules or change course rapidly. However, they may become frustrated if others challenge their judgment.

They have a fairly strong competitive side, and at times, they may be fueled by disagreements or conflict. In fact, the idea of losing is probably more upsetting to them than it is to most people. They may suspect that people are driven by self-interest and will take advantage of you if you let them. Consequently, they're unlikely to take kind words at face value, tending to look for the intentions behind them.

Most likely, they don't have trouble speaking up when they see a problem. They are also very straightforward when they feel that others are not competent to carry out their vision or don't see it as clearly as they do. While they may encourage input, they may disregard those opinions that conflict with their ideas. And although they may realize that others can be taken aback by their directness, they're probably unwilling to compromise what they see as honesty. Because they can be fairly intense, the people they manage may sometimes feel that they're irritated with them.

Their most valuable contributions as a manager may include their drive to get results, their tendency toward bold action, and their willingness to challenge assumptions. In fact, these are probably some of the qualities that others admire most about people with the D style.

2

"D" Dominance

Descriptors:
- Direct. Decisive. Problem-solver. Risk-taker. Self-starter
- Shapes environment by overcoming opposition to accomplish results.
- If they were an animal, they would likely be a Lion.

Strengths: Bottom line organizer. Places value on time. Challenges status quo. Innovative.

Weaknesses: Oversteps authority. Attempts too much at once. Argumentative attitude / verbally aggressive. Dislikes routine.

Motivated by:
- New challenges. Power and authority to take risks and make decisions. Freedom from routine and mundane tasks. Changing environments in which to work and play.

Fear: Being taken advantage of.

Ideal Environment:
- Innovative focus on future. Non-routine, challenging tasks and activities. Projects that produce tangible results. Freedom from controls, supervision, and details. Personal evaluation based on results, not methods.

While Analyzing Data, they may:
- Pros: Offer innovative ideas.
- Cons: Ignore potential risks. Not weigh pros/cons. Avoid considering suggested options from others.

D-Type in a Team Dynamic:
- Leader (Pushes group for action/decisions). Problem Solver. Multi-tasker

Personal Growth Areas:
- Listening. Relaxing. Building Relationships. Being Friendly. Showing Empathetic Concern.

What "D"s want:
- Authority. Prestige. Freedom. Direct answers. Varied activities. Assignments promoting growth. "Bottom line" approach. Opportunity for advancement.

Interacting with "D"s:
- Do:
  - Be brief, direct, to the point.
  - Focus on results: remember D-types desire results.
  - Suggest ways to achieve results, lead, solve problems.
  - Highlight logical benefits of featured ideas and approaches.
  - Ask "what", not "how" questions.

Interacting with "D"s:
- Don'ts:
  - Ramble.
  - Repeat yourself.
  - Focus only on problems.
  - Be too sociable.
  - Make generalizations.
  - Make statements without support.

3

Each Dot Tells a Story - DiSC Style: "i" Influence
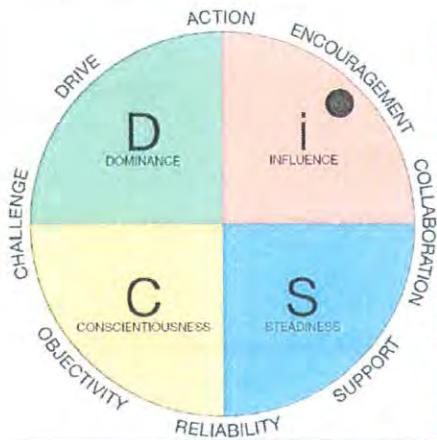
Managers with the i style typically enjoy relating to other people. They tend to have a fairly extensive network of friends and colleagues, and they may view a roomful of strangers as a fun opportunity to connect. Similarly, they're likely to get personal satisfaction out of introducing people who would not otherwise meet.

Because they're optimistic and enthusiastic, they may find it easy to get the people they manage excited about their goals and ideas. When they speak, they're likely to promote their opinions with passion. Many people probably find their enthusiasm contagious; however, those who are more skeptical may feel that they are overly optimistic at times.

When communicating, they tend to be expressive, and they may dial up their volume and gestures to get people's attention. Compared to most managers, they have a stronger urge to process their feelings by verbalizing them. At times, their somewhat talkative nature may cause them to monopolize conversations, particularly with those who are more soft-spoken.

In terms of time management, they like to have a variety of tasks on their plate and probably grow bored with routine. Most likely, they maintain their enthusiasm and drive under time pressure. Although they're often excited to start a new project, they may sometimes dive in without adequate planning or resources. Because they're probably confident in their ability to improvise, they may prefer a more free-flowing approach.

They probably enjoy making gut-instinct decisions, but they also tend to be accepting of other people's ideas. In fact, when people offer opinions or weigh-in, they sometimes may be reluctant to give negative feedback for fear of being seen as the "bad guy." At times, their optimism may also cause them to overestimate their own abilities or misjudge the difficulty of a task.

They genuinely enjoy being around other people, so they probably encourage people to work collaboratively. Most likely, they see team brainstorming sessions as leading to endless possibilities, and they tend to actively solicit ideas from other people. However, because they naturally want to connect and collaborate with others, they may not always realize that some people require more personal space.

They may tie their self-worth closely to their social circle. They strive to make favorable impressions whenever possible, and they're most likely comfortable being the center of attention. In fact, they probably enjoy telling stories and entertaining others in a colorful, engaging way.

In conflict, they may be inclined to brush any unpleasantness under the rug for as long as possible. However, if their anger, frustration, or hurt reaches a breaking point, they may say things they later regret. For them, venting may feel like a therapeutic process, but it may make the people they manage highly uncomfortable.

Their most valuable contributions as a manager may include their ability to generate excitement, their high energy, and their desire to bring people together. In fact, these are probably some of the qualities that others admire most about people with the i Style.

4

"i" Influence

Descriptors:
- Enthusiastic. Trusting. Optimistic. Persuasive. Talkative. Impulsive. Emotional.
- Shapes environment by influencing or persuading others.
- If they were an animal, they would likely be a Sea Otter.

Strengths:
- Creative problem solver. Great encourager. Motivates others to achieve. Positive sense of humor. Negotiates conflicts. Peacemaker.

Weaknesses:
- More concerned with popularity than tangible results. Inattentive to detail. Overuses gestures and facial expressions. Tends to listen only when it is convenient. If frustrated, may say things they later regret.

Motivated by:
- Flattery, praise, popularity and acceptance. A friendly environment. Freedom from many rules and regulations. Other people being available to handle details.

Fear: Rejection

Ideal Environment:
- Practical procedures. Few conflicts and arguments. Freedom from controls and details. A forum to express ideas. Coaching and counseling opportunities. Group activities in professional and social environments.

While Analyzing Data, they may:
- Pros: Be creative in problem solving.
- Cons: Lose concentration. Miss important facts and details. Interrupt.

i-Type in a Team Dynamic:
- Influencer. Communicator.   Peacemaker.

Personal Growth Areas:
- Be less impulsive. Focus.   Talk less/listen more. Consistently deliver results.

What "i"s want:
- Social esteem and acceptance. Recognition for abilities. Freedom from details and control. People to talk to. Positive working conditions. Opportunity to motivate and influence others.

Interacting with "i"s:
- Do:
  - Build a favorable/friendly environment. Allow time for stimulating, sociable activities.
  - Give opportunity for verbalization about ideas, people, and "intuition".
  - Help develop talk into action.
  - Submit details in writing, but don't dwell on them.
  - Develop a participative relationship.
  - Create incentives for task follow-through.

Interacting with "i"s:
- Don'ts:
  - Eliminate social time.
  - Do all the talking. Tell them what to do.
  - Ignore their ideas or accomplishments.

5

Each Dot Tells a Story - DiSC Style: "S" Steadiness
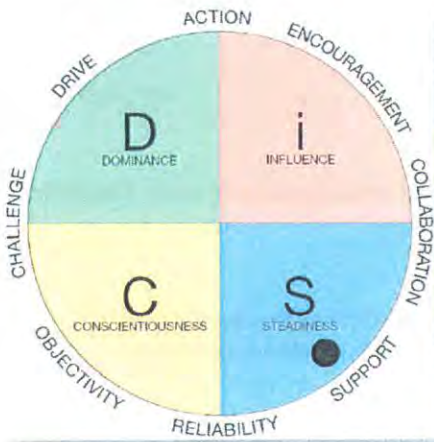
S style leaders are likely cooperative managers who take pride in doing their part to help the team. They probaly don't need to win to feel good about themselves. In fact, when they receive credit for a job well done, they may be quick to share it with the people they manage.

They're probably fairly accomodating, and they may find it important to maintain the approval of others. Consequently, they're likely to put a fair amount of energy into catering to other people. In fact, at times they may have difficulty saying no, and they may fail to let people know when they've been inconvenienced.

Since they have a need for harmony, conflict is probably difficult for them. Most likely, they're troubled by the idea of hurting someone's feelings, and they may spend time dwelling on incidents that other people wouldn't think twice about. As a manager, they may prefer the role of peacemaker, but when things become heated, they may shut down and simply wait for the tension to pass.

In terms of time management, they prefer predictable routines and well-defined procedures for getting things done. Therefore, they probably work with people to develop clear timelines and expectations. Similarly, since they don't want to let anyone down, they probably feel most secure when they've perfected a set of specialized skills that they can perform reliably.

When it comes to making decisions, they tend to be on the careful side, avoiding risk when possible. Because they assume that rules and traditions are there for a reason, they probably dislike shortcuts. When considering bold changes, they may focus more on the possibility of failure than on the potential benefits. They may require quite a bit of certainty before making major decisions, and this indecisiveness can stand in the way of progress.

Most likely, they're fairly comfortable working quietly behind the scenes. While they like to feel appreciated, they may get somewhat embarassed if the praise is too public or gushing. And, because they sometimes downplay their own performance, others may fail to recognize their contributions altogether.

Because they're often trusting, they probably give people the benefit of the doubt. Likewise, when people present new ideas, they may try to keep an open mind and show support. And, if someone fails to meet their expectations, they'd sometimes rather redo the work than give negative feedback because they don't want to damage the relationship.

They tend to be soft-spoken, and their fear of speaking out of turn may cause them to keep ideas to themselves. And, because they sometimes speak hesitantly and qualify their statements, the people they manage may find their ideas unconvincing. However, because filtering their responses comes so naturally to them, they may not realize how much more efficient it would be to say exactly what they're thinking.

Their most valuable contributions as a manager may include their acceptance of others, their dependability, and their ability to be a team player. In fact, these are probably some of the qualities that others admire most about people with the S style.

"S" Steadiness

Descriptors:
- Good listener. Team player. Possessive. Predictable. Understanding. Friendly.
- If they were an animal, they would likely be a Golden Retriever.

Strengths:
- Reliable and dependable. Loyal team worker. Compliant towards authority. Good listener, patient and empathetic. Good at reconciling conflicts.

Weaknesses:
- Resists change. Takes a long time to adjust to change. Holds a grudge. Sensitive to criticism. Difficulty establishing priorities.

Motivated by:
- Recognition of loyalty and dependability. Safety and security. No sudden changes in procedure or lifestyle. Activities that can be started and finished.

Fear: Loss of security

Ideal Environment:
- A team atmosphere. Practical procedures and systems. Stability and predictability. Tasks that can be completed at one time. Few conflicts and arguments.

While Analyzing Data, they may:
- Pros: Provide valuable support for team goals.
- Cons: Be outwardly agreeable but inwardly unyielding. Internalize their concerns and doubts. Hesitate to share feedback during presentation. Slow down the action.

S-Type in a Team Dynamic:
- Relationship builder. Team player. Voice of reason

Personal Growth Areas:
- Adaptability. Deal directly with confrontation. Increase pace towards goals.

What "S"s want:
- Security in situations. Sincere appreciation. Repeated work patterns. Time to adjust to change. Limited territory of responsibility.

Interacting with "S"s:
- Do:
  - Create favorable environment: personable and agreeable.
  - Express genuine personal interest in them. Assure them of personal follow-up support.
  - Provide clarification for tasks and answers to how questions. Be patient in drawing out goals.
  - Present ideas/departures from current practices in non-threatening manner.
  - Give S-types time to adjust. Clearly define goals, procedures & their role in the overall plan.
  - Explain how their actions will minimize involved risks and enhance current procedures.

Interacting with "S"s:
- Don'ts:
  - Be pushy, overly aggressive or demanding.
  - Be too confrontational.

Each Dot Tells a Story - DiSC Style: "C" Conscientiousness
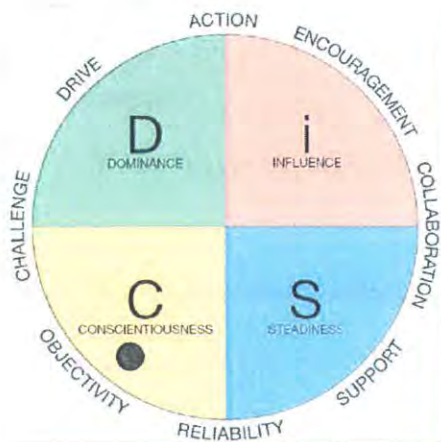
C style leaders typically take a logical, objective approach to management. They tend to be quite systematic, and they may enjoy creating standards that help bring about efficient, high-quality outcomes. Because they like to maintain a sense of order, they may become annoyed when people don't adhere to the accepted rules and guidelines.

Compared to most managers, they may be particularly hard on themselves for being wrong. In fact, they may not realize just how much of their self-worth comes from their sense of competency. Although this may push them to be their best, it may also keep them from taking chances that could prove beneficial, and they may waste time beating themselves up when they make a mistake.

They probably have a strong questioning side. Because they place a high value on reasoning and analysis, they're unlikely to accept new ideas or plans at face value. As a result, they may question ideas even after other people feel ready to move ahead, and they may see them as a roadblock to progress.

In terms of time management, they like to create timelines with plenty of padding to deal with unforeseen problems. Because they tend to spend time analyzing and perfecting their work, they may become frustrated under extreme time pressure. Overall, they prefer that the people they manage work within a predictable timeline.

Managers with a C style tend to be fairly cautious. Because they want to avoid mistakes, they usually take time to think things through before making choices. Consequently, it may be stressful for them to a make a decision when the outcome is unpredictable or they don't have enough information. They may overanalyze a situation in hopes of gaining an unrealistic level of certainty.

They're probably pretty private with personal information, unless they know someone really well. They may also be uncomfortable mingling with strangers at social events and find it difficult to enter casual situations where the rules are unclear. At times, they may unintentionally distance themselves from others by not following through on social invitations. They may not realize that people find this standoffish or cold, even though they just prefer to spend their time with a smaller group of people they know well.

Despite their mild appearance, they may get annoyed when they think logic and facts are being ignored. Given the choice between starting a fight or giving in, they may appear, at least on the surface, to give in. Like others with a C style, however, they may find more subtle ways to show their anger or get their way. For instance, they may withhold information or slow down progress by digging in their heels.

Although they pride themselves on the quality of their work, they may shy away from public recognition. And assuming that others share this preference, it may not occur to them that the people they manage may want more open praise or compliments from them.

Their most valuable contributions as a manager may include their insistence on precision, their quiet diligence, and their ability to find practical solutions to complex problems. In fact, these are probably some of the qualities that others admire most about people with the C style.

"C" Conscientiousness

Descriptors:
- Accurate. Analytical. Systematic. Careful. Fact-finder. Precise. High standards.
- Works conscientiously within existing circumstances to ensure quality and accuracy.
- If they were an animal, they would likely be an Owl.

Strengths:
- Perspective: "The anchor of reality". Thorough in all activities. Defines situation. Gathers, criticizes and tests information.

Weaknesses:
- Needs clear-cut boundaries for actions/relationships. Bound by procedures and methods. Gets bogged down in details. Prefers not to verbalize feelings. Will give in rather than argue.

Motivated by:
- Standards of high quality. Limited social interaction. Detailed tasks. Opportunities to demonstrate expertise. Logical organization of information.

Fear: Being Criticized

Ideal Environment:
- Tasks and projects that can be followed through to completion. Specialized / technical tasks. Practical work procedures and routines. Few conflicts and arguments. Instructions and reassurance that they are doing what is expected of them.

While Analyzing Data, they may:
- Pros: Become an effective troubleshooter.
- Cons: Become overly cautious and conservative, if risk present. Get bogged down in details.

C-Type in a Team Dynamic:
- Organizer. Quality Control. Data Analyst. Diplomat.

Personal Growth Areas:
- Act/Decisiveness. Prioritizing. Compromise.

What "C"s want:
- Autonomy and independence. Controlled work environment. Values of quality and accuracy. Reassurance. Precise expectations and goals. Exact job descriptions. Planned change.

Interacting with "C"s:
- Do:
  - Prepare your case in advance. Delineate pros/cons of proposed ideas.
  - Support ideas and statements with accurate data. Reassure C-types that no surprises will occur.
  - Review recommendations with C-type in a systematic and comprehensive manner.
  - Be specific when agreeing. Disagree with the facts rather than with the person.
  - Be patient, persistent, and diplomatic while providing explanations.

Interacting with "C"s:
- Don'ts:
  - Refuse to explain details.
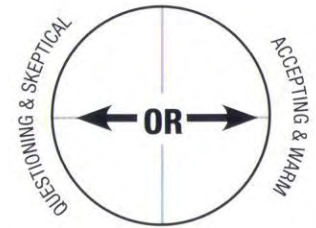 - Answer questions vaguely or casually.
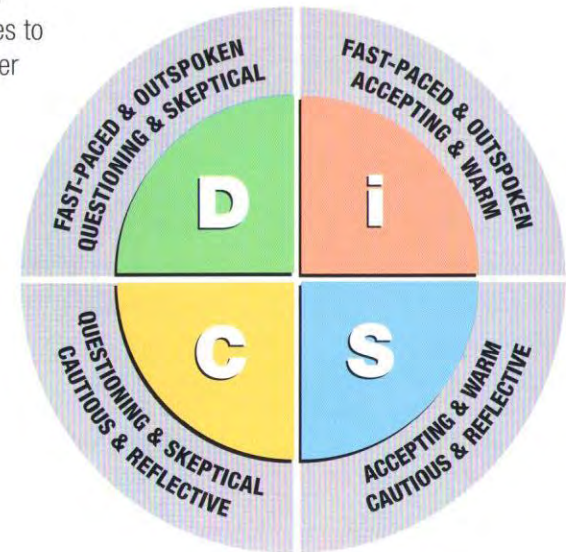
Think about someone you manage or your manager.

1 Consider whether this person tends to be more:

FAST-PACED & OUTSPOKEN
OR
CAUTIOUS & REFLECTIVE

2 Then, consider whether this person also tends to be more:

QUESTIONING & SKEPTICAL
OR
ACCEPTING & WARM

3 Now, combine this person's tendencies to determine his or her DiSC® style.

FAST-PACED & OUTSPOKEN
QUESTIONING & SKEPTICAL — **D**

FAST-PACED & OUTSPOKEN
ACCEPTING & WARM — **i**

QUESTIONING & SKEPTICAL
CAUTIOUS & REFLECTIVE — **C**

ACCEPTING & WARM
CAUTIOUS & REFLECTIVE — **S**

INTERACTION GUIDE

EVERYTHING **DiSC**
MANAGEMENT

WILEY

Strategies for working with the "D" style

Directing & Delegating
- Outline boundaries of authority
- Provide broad overviews
- Be direct about expectations
- Give deadlines, then autonomy

Creating a Motivating Environment
- Provide ambitious goals
- Let them work independently
- Give them opportunities to compete
- Give big-picture context

Developing
- Show how the development plan will benefit them
- Let them determine personal goals
- Use results-oriented approach
- Provide challenges

Working with a "D" Manager
- Show confidence in your ideas
- Be direct and to the point
- Explain the big picture
- Focus on bottom-line results
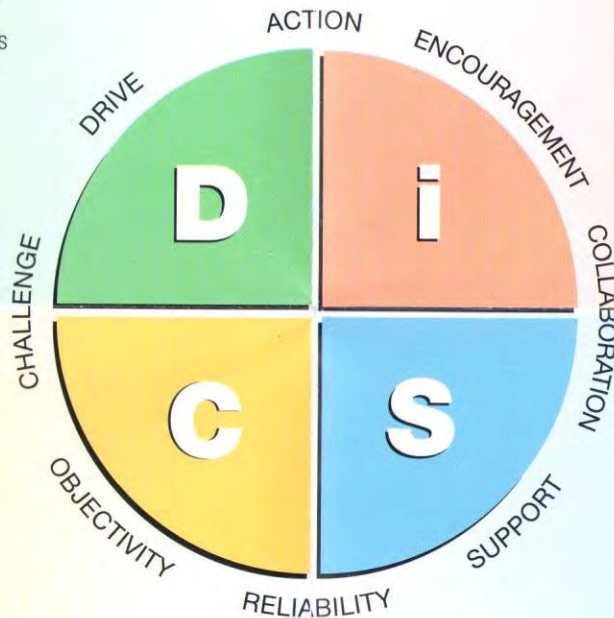
Strategies for working with the "i" style

Directing & Delegating
- Allow them to lead group projects
- Let them try new solutions
- Keep them on schedule
- Don't mistake enthusiasm for understanding

Creating a Motivating Environment
- Let them collaborate
- Vary their tasks
- Encourage their more adventurous ideas
- Praise them publicly

Developing
- Encourage teamwork
- Steer toward goals that require fast action
- Provide leadership opportunities
- Be optimistic about their development

Working with an "i" Manager
- Show enthusiasm and passion
- Keep projects moving
- Emphasize teamwork
- Avoid focusing only on facts

ACTION
ENCOURAGEMENT
DRIVE
COLLABORATION
CHALLENGE
SUPPORT
OBJECTIVITY
RELIABILITY

D i C S

Strategies for working with the "C" style

Directing & Delegating
- Check in only when necessary
- Have them update you on status and decisions
- Use deadlines to ensure forward progress
- Be objective with feedback

Creating a Motivating Environment
- Explain tasks logically
- Let them work independently
- Provide enough time for thoughtful decisions
- Allow them to help set quality goals

Developing
- Avoid overly cautious development plans
- Help them to see the value of teamwork
- Suggest opportunities that require analysis
- Respect their independence

Working with a "C" Manager
- Support ideas with logic and facts
- Be prepared with evidence to back up your plans
- Emphasize accuracy over speed
- Allow them ample time to make decisions

Strategies for working with the "S" style

Directing & Delegating
- Give clear direction
- Request their input
- Gradually give more responsibility
- Let them know you are there for support

Creating a Motivating Environment
- Avoid rushing them
- Let them know you value their contributions
- Give early warning of changes
- Allow them to collaborate

Developing
- Let them mentor others
- Encourage them to take reasonable risks
- Ask for input on their interests and skills
- Offer reassurance

Working with a "S" Manager
- Use a friendly approach
- Show how your ideas positively affect others
- Plan for steady progress
- Avoid pressuring them for quick decisions

Copyright Compliance for Faculty

Christine Frank, MLS, AHIP

Director, Library of Rush University Medical Center

Topics To Be Covered:

- Overview of Law
- Rush Copyright Compliance Policy
- Classroom Copying Guidelines
- Electronic Distribution of Articles:
  - Course Packs
  - Library Electronic Reserves Service
  - Creating Permalinks in Blackboard
- Face-to-Face Teaching Limitation
- TEACH Act
- Licensed and Open Access Images in Teaching
- Requesting Copyright Permission
- Copyright in Written Scholarly Communication
- Protecting Your Own Scholarly Works for Educational Use

Copyright – Constitutional Right!

"The Congress shall have Power … To promote the Progress of Science and useful Arts, by securing for limited Times to Authors and Inventors the exclusive Right to their respective Writings and Discoveries…"

(United States Constitution, Article I, Section 8)

What's Protected?

- original works of authorship

- tangible medium of expression

- reproduced... directly or with the aid of machine or device.

(US Code, Title 17, Chapter 1, Section 102)

Exclusive Rights of Copyright Holders

- to **reproduce** copies

- to prepare **derivative** works

- to **distribute** copies by **sale**, rental, lease, or lending

- to display **publicly** (pictorial & graphic works)

(US Code, Title 17, Chapter 1, Section 106)

What's Not Protected?

(Copyright Basics. Circular #1 (2008) U.S. Copyright Office, p. 3.)

- ideas
- procedures
- processes
- systems
- methods
- concepts
- principles
- discoveries
- titles

- mere listing of ingredients or contents
- slogans
- standard calendars
- height/weight charts
- lists /tables from public documents or other common sources

Public Domain – No Permission Needed

■ Works of the **U. S. government**

♦ Works written by non-government officials with federal funding **MAY** be protected. Look carefully at grant reports.

♦ Works of **state governments** MAY be copyrighted

■ Works written before 1923

When Does a Work Enter the Public Domain?

- Pre-1923: Public Domain; not copyrighted
- 1923-1977: 95 years
- 1978 →: Life of Author + 70 years

http://copyright.cornell.edu/resources/public domain.cfm

© Copyright Symbol

- Pre-1978: no © → not copyrighted.

- 1979-1988: no © →MAY be copyrighted; needed corrective action

- 1989 to present: no © → MAY be copyrighted. Act as if protected until you learn otherwise.

Public Domain Slider

http://www.librarycopyright.net/digitalslider

Fair Use limitations on exclusive rights of authors

- criticism

- commentary

- news reporting

- teaching

- scholarship

- research

(Section 107)

FAIR USE

Determined by:

- the nature of the copyrighted work

- the purpose of the use

- the amount of copying

- The effect of the copying on the potential market for, or value of, the original work

(Section 107)

Rush Copyright Compliance Policy OP-0365

Use of copyrighted works by Covered Individuals shall comply with the Copyright Act. Prior to use of another individual's or entity's copyrighted work, Covered Individuals shall make a determination whether their intended use is permitted under the Copyright Act as a Fair Use or otherwise expressly permitted under the Copyright Act. If a covered individual's intended use of a copyrighted work does not qualify as Fair use or is not otherwise expressly permitted by the Copyright Act, the covered Individual shall obtain permission from the copyright holder prior to use of the copyrighted work.

- This policy applies to any faculty member, staff member, employee or student of Rush University Medical Center ("Covered Individuals").

Fair Use … Murky Waters

Fair Use Checklist

Copyright Advisory Office

Columbia University Libraries

Kenneth D. Crews

http://copyright.columbia.edu/copyright/files/2009/10/fairusechecklist.pdf

Guidelines For Classroom Copying of Books and Periodicals, 1976

Single copying for teachers:

- A chapter from a book

- An article from a periodical or newspaper

- A short story, short essay or short poem, whether or not from a collective work

- A chart, graph, diagram, drawing, cartoon or picture from a book, periodical, or newspaper

Multiple copies for classroom use:

- Brevity and spontaneity tests
- Cumulative effect test
- Each copy includes a notice of copyright

Brevity

- Prose: (a) Either a complete article, story or essay of less than 2,500 words, or (b) an excerpt from any prose work of not more than 1,000 words or 10% of the work, whichever is less, but in any event a minimum of 500 words

- Illustration: One chart, graph, diagram, drawing, cartoon or picture per book or per periodical issue

Spontaneity

- The copying is at the instance and inspiration of the individual teacher, and

- The inspiration and decision to use the work and the moment of its use for maximum teaching effectiveness are so close in time that it would be unreasonable to expect a timely reply to a request for permission.

Cumulative Effect

- The copying of the material is for only one course in the school in which the copies are made
- Not more than one short poem, article, story, essay or two excerpts may be copied from the same author, nor more than three from the same collective work or periodical volume during one class term
- There shall not be more than nine instances of such multiple copying for one course during one class term
- Does not cover "consumables"

Copying shall not:

- Substitute for the purchase of books, publisher's reprints or periodicals

- Be directed by higher authority; or

- Be repeated with respect to the same item by the same teacher from term to term

No charge may be made to the student beyond the actual cost of the photocopying

Student Course Packs through Rush University Bookstore

- Both print and digital course packs available
  - Xanadu is example of digital vendor http://www.xanedu.com/
- Contact Mark Zsoter for more information
  Mark_Zsoter@rush.edu

Electronic Reserves Guidelines at RUMC Library

- Single articles from journals or chapters from books already owned by a faculty member or the Library

- Password protected

- Accessible only to students enrolled in the course

- Materials must be removed at the end of the quarter

- If you plan to use the materials again the faculty must get permission to use them.

Link to Articles/Chapters Instead of Copying

If Library has a license to a journal, create a "permanent link"

• a web address that will consistently point to a specific information source

• no-fail method of linking to articles (avoids "link rot").

• also known as a permalink, stable link, durable link, persistent link, or document link.

Section 110(1) Copyright Limitation for Face-to-Face Teaching

- Performance or display must be in a classroom or similar place devoted to instruction

- Work must be from a lawfully made copy

- Performance rights do NOT cover copying

TEACH Act – Distance Education Copyright Exception - Sec. 110(2)

- Accredited nonprofit educational institution
- Copyright notice to students
- Enrolled students only (usually password-controlled access)
- Technological controls on storage and dissemination
  - ▲ No retention longer than class session
  - ▲No dissemination beyond students

More **TEACH** Rules

- No interference with technological measures on work to restrict copyright

- No digital educational works

- No unlawfully made or acquired copy

- Work in reasonable and limited portions - amount comparable to that which is typically displayed in the course of a live classroom session

Licensing Electronic Material

- Licensing trumps copyright

- License is a contract

- Fair use may not be in the license

- Read click-wrap agreements for clip art

- Library licensed databases with images OK for Blackboard use: Access Medicine, MD Consult

Creative Commons licenses

Copyright owners may forego any of their rights.
http://creativecommons.org/

- CC BY Attribution

- CC BY-SA Attribution-ShareAlike

- CC BY-ND Attribution-NoDerivs
- CC BY-NC Attribution-NonCommercial

- CC BY-NC-SA Attribution-NonCommercial-ShareAlike

- CC BY-NC-ND Attribution-NonCommercian-NoDerivs

Images

- Get permission to use or ADAPT

- Give credit to copyright owner

- *Images: A directory of permissible use image resources for NEOMED faculty, staff, and students*

http://libraryguides.neomed.edu/content.php?pid=200730&sid=1677693

Copyright Permission Requests Should Include:

- Full citation & description of work to be used

- Exact purpose of work

- Return address, phone & fax, date

- Email and fax permission is ok

Hint: Copyright Clearance Center is a major tool for permission requests
http://www.copyright.com/

Using Others' PUBLISHED Works:

• Almost always the PUBLISHER, not the author holds copyright. Author transfers copyright to publisher

Using Others' UNPUBLISHED Works:

• Get permission from the author to use or adapt, even if in your own department

Web Sites:

• Material is protected by copyright just as if it appeared in a book or journal

IN ALL CASES, GIVE CREDIT AND GET PERMISSION

Using and <u>Reusing</u> Your OWN Work

- Authors' previously published works: must obtain permission from the copyright owner (PUBLISHER) to use or adapt

- Some journal publishers allow authors to "self-archive" an author-created version of article on Rush website

- Read publisher website for rules about self-archiving.

In a Publisher Agreement, You May Have Surrendered Your Right to:

- Place a copy of the work in RU Learning

- Place a copy in course packs

- Put the work in online in a digital archive: PubMedCentral, your personal website, an institutional repository

- Email copies to students and colleagues

- Make paper copies for colleagues at a conference

- Re-use excepts in another work

- Make a translation of the work

Assess Current Publishing Policies:

- Locate copyright policies on publisher web sites
- Look at **Sherpa/RoMEO**: http://www.sherpa.ac.uk

  Publisher copyright & archiving policies:

  Green: can archive pre-print *and* post-print *or* publisher's version/PDF

  Blue: can archive post-print (i.e. final draft post-refereeing) or publisher's version/PDF

  Yellow: can archive pre-print (i.e. pre-refereeing)

  White: archiving not formally supported

Search - Publisher copyright policies & self-archiving

One journal found when searched for: **0028-0836**

Journal:	Nature (ISSN: 0028-0836, ESSN: 1476-4687)
RoMEO:	This is a RoMEO **yellow** journal
Paid OA:	This journal is not in the list for the paid open access option.

Author's Pre-print:	✔ author **can** archive pre-print (ie pre-refereeing)
Author's Post-print:	subject to Restrictions below, author **can** archive post-print (ie final draft post-refereeing)
Restrictions:	• 6 months embargo
Publisher's Version/PDF:	✘ author **cannot** archive publisher's version/PDF
General Conditions:	• Authors retain copyright • Published source must be acknowledged and DOI cited • Must link to publisher version • Publisher's version/PDF cannot be used • On author's personal website and institutional repository • If funding agency rules apply, authors may post authors version to their relevant funding body's archive, 6 months after publication
Mandated OA:	Compliance data is available for 28 funders
Paid Open Access:	Open Access Hybrid Model - Selected Titles Only
Copyright:	Pre-publication policy - License to Publish - Manuscript Deposition Service
Updated:	06-Mar-2013 - Suggest an update for this record
Link to this page:	http://www.sherpa.ac.uk/romeo/issn/0028-0836/

Published by:	Nature Publishing Group - *Yellow Policies in RoMEO*

This summary is for the journal's *default* policies, and changes or exceptions can often be negotiated by authors.
All information is correct to the best of our knowledge but should not be relied upon for legal advice.

Search again?

○ **Journal titles or ISSNs** ○ **Publisher names**

0028-0836

○ **Exact** phrase only ⊙ **All** keywords ○ **Any**

Advanced Search | Search | Reset

RoMEO Colour	Archiving policy
Green	Can archive pre-print *and* post-print or publisher's version/PDF
Blue	Can archive post-print (ie final draft post-refereeing) or publisher's version/PDF
Yellow	Can archive pre-print (ie pre-refereeing)
White	Archiving not formally supported

More on colours and restrictions

or   View all publishers

Use this site to find a summary of permissions that are normally given as part of each publisher's copyright transfer agreement.

Once You've Received a Contract:

- Read the contract carefully to insure that you retain the rights you want

- If not, NEGOTIATE!

– Consider what publisher rights are fair

– Cross out clauses and insert rights

◇ initial changed clauses

◇ check for clause saying that no changes have been made to form

– OR attach SPARC Author Addendum

SPARC Author Addendum

… 4. **Author's Retention of Rights**…Author retains: (i) the rights to reproduce, to distribute, to publicly perform, and to publicly display the Article in any medium for non-commercial purposes; (ii) the right to prepare derivative works from the Article; and (iii) the right to authorize others to make any noncommercial use of the Article so long as Author receives credit as author and the journal in which the Article has been published is cited as the source of firsts publication of the Article. For example, Author may make and distribute copies in the course of teaching and research and may p[ost the Article on personal or institutional Web sites and in other open-access digital repositories…''

http://www.sparc.arl.org/sites/default/files/Access-Reuse_Addendum.pdf

More Copyright Information

- **Author Rights: Using the SPARC Author Addendum to Secure Your Rights as the Author of a Journal**
  http://www.sparc.arl.org/sites/default/files/SPARC_AuthorRights2006_0.pdf

- **Campus Copyright Rights & Responsibilities: a Basic Guide to Policy Considerations**
  http://aaupnet.org/aboutup/issues/Campus_Copyright.pdf

- **Code of Best Practices in Fair Use for Academic and Research Libraries**
  http://www.arl.org/publications-resources/2875

- **Copyright Crash Course. University of Texas**
  http://copyright.lib.utexas.edu

- **Reproduction of Copyrighted Works by Educators and Librarians**
  http://www.copyright.gov/circs/circ21.pdf

Christine Frank

Christine_Frank@rush.edu

312-942-8735

⏻ RUSH   Policy

Title	Copyright Compliance
Policy Number	OP-0365
PolicyType	Operational
Category	Legal Issues
Subcategory1	
Subcategory2	
Subcategory3	
Approval Date	8/21/2012
Contact	Diane_Bird@rush.edu
Applies To	

Purpose

The Copyright Act protects the rights of copyright owners in their copyrighted works and governs reproduction of copyrighted works. The Copyright Act provides for reproduction of copyrighted works without permission, under limited circumstances, including if the intended use is considered a Fair Use under the Copyright Act. If an intended use does not qualify as a Fair Use, or is not otherwise expressly provided by the Copyright Act, permission must be sought to use such work.

This policy applies to any faculty member, staff member, employee or student of Rush University Medical Center ("Covered Individuals").

Executive Summary

Definitions

Copyright Act: The United States Copyright Law of 1976, as amended (Title17 of the United States Code).

Fair Use: The use of a copyrighted work for purposes such as criticism, comment, news reporting, teaching (including multiple copies for classroom use), scholarship, or research pursuant to the requirements of the Copyright Act.

Guidelines: A set of guidelines to be used for determining whether an intended use of a copyrighted work qualifies as a Fair Use or is otherwise expressly permitted under the Copyright Act. The Guidelines are attached to this policy as Attachment A.

Equipment
Information
Policy

Use of copyrighted works by Covered Individuals shall comply with the Copyright Act. Prior to use of another individual's or entity's copyrighted work, Covered Individuals shall make a determination whether their intended use is permitted under the Copyright Act as a Fair Use or otherwise expressly permitted under the Copyright Act. If a covered individual's intended use of a copyrighted work does not qualify as Fair use or is not otherwise expressly permitted by the Copyright Act, the covered Individual shall obtain permission from the copyright holder prior to use of the copyrighted work.

1

Outcome
Guidelines
Responsibility and
Procedure

Covered Individuals
1. Determine whether the intended use qualifies as Fair Use under the Copyright Act. The Guidelines provide the necessary steps to make this determination.

2. If the intended use does not qualify as Fair Use under the Copyright Act, determine if the intended use is otherwise expressly permitted by the Copyright Act. The Guidelines provide the necessary information to make this determination.

3. If the intended use does not qualify as Fair Use under the Copyright Act and is not otherwise expressly permitted under the Copyright Act, obtain permission from the copyright holder prior to use of the copyrighted work. The Guidelines provide the appropriate steps to request permission from a copyright holder to use a copyrighted work.

Regulatory Elements
Related Policies
Reference
Last Published   8/21/2012 3:35 PM
Archive Flag   No
Attachments   Copyright_APPENDIX A.doc
                          Copyright AttchmtA Guidelines.doc
                          APPENDIX B_Copyright Permission Ltr.doc

Content Type: Policy

APPENDIX A

<table>
<tr><td colspan="2" align="center">**Favoring Fair Use**</td><td colspan="2" align="center">**Opposing Fair Use**</td></tr>
<tr><td>☐</td><td>Teaching (including multiple copies for classroom use)</td><td>☐</td><td>Commercial activity</td></tr>
<tr><td>☐</td><td>Research</td><td>☐</td><td>Profiting from the use</td></tr>
<tr><td>☐</td><td>Scholarship</td><td>☐</td><td>Entertainment</td></tr>
<tr><td>☐</td><td>Nonprofit Educational Institution</td><td>☐</td><td>Bad-faith behavior</td></tr>
<tr><td>☐</td><td>Criticism</td><td>☐</td><td>Denying credit to original author</td></tr>
<tr><td>☐</td><td>Comment</td><td></td><td></td></tr>
<tr><td>☐</td><td>News reporting</td><td></td><td></td></tr>
<tr><td>☐</td><td>Transformative or Productive use (changes the work for new utility)</td><td></td><td></td></tr>
<tr><td>☐</td><td>Restricted access (to students or other appropriate group)</td><td></td><td></td></tr>
<tr><td>☐</td><td>Parody</td><td></td><td></td></tr>
</table>

NATURE

<table>
<tr><td colspan="2" align="center">**Favoring Fair Use**</td><td colspan="2" align="center">**Opposing Fair Use**</td></tr>
<tr><td>☐</td><td>Published work</td><td>☐</td><td>Unpublished work</td></tr>
<tr><td>☐</td><td>Factual or nonfiction based</td><td>☐</td><td>Highly creative work (art, music, novels, films, plays)</td></tr>
<tr><td>☐</td><td>Important to favored educational objectives</td><td>☐</td><td>Fiction</td></tr>
</table>

AMOUNT

<table>
<tr><td colspan="2" align="center">**Favoring Fair Use**</td><td colspan="2" align="center">**Opposing Fair Use**</td></tr>
<tr><td>☐</td><td>Small quantity</td><td>☐</td><td>Large portion or whole work used</td></tr>
<tr><td>☐</td><td>Portion used is not central or significant to entire work</td><td>☐</td><td>Portion used is central to work or "heart of the work"</td></tr>
<tr><td>☐</td><td>Amount is appropriate for favored educational purpose</td><td></td><td></td></tr>
</table>

EFFECT

<table>
<tr><td colspan="2" align="center">**Favoring Fair Use**</td><td colspan="2" align="center">**Opposing Fair Use**</td></tr>
<tr><td>☐</td><td>User owns lawfully acquired or purchased copy of original work</td><td>☐</td><td>Could replace sale of copyrighted work</td></tr>
<tr><td>☐</td><td>One or few copies made</td><td>☐</td><td>Significantly impairs market or potential market for copyrighted work or derivative</td></tr>
<tr><td>☐</td><td>No significant effect on the market or potential market for copyrighted work</td><td>☐</td><td>Reasonably available licensing mechanism for use of the copyrighted work</td></tr>
<tr><td>☐</td><td>No similar product marketed by the copyright holder</td><td>☐</td><td>Affordable permission available for using work</td></tr>
<tr><td>☐</td><td>Lack of licensing mechanism</td><td>☐</td><td>Numerous copies made</td></tr>
<tr><td></td><td></td><td>☐</td><td>You made it accessible on Web or in other public forum</td></tr>
<tr><td></td><td></td><td>☐</td><td>Repeated or long term use</td></tr>
</table>

Adapted with permission from a checklist available in "Copyright Law for Librarians and Educators," by Kenneth D. Crews (ALA Editions, 2006).

ATTACHMENT A

COPYRIGHT GUIDELINES

1. **What protection does a copyright afford the owner?**

The United States Copyright Act states that "Copyright protection subsists . . . in original works of authorship fixed in a tangible medium of expression, now known or later developed, from which they can be perceived, reproduced, or otherwise communicated, either directly or with the aid of a machine or device . . ."[1]

    1.1   Works of Authorship include the following categories[2]:

- Literary Works
- Musical Works
- Dramatic Works
- Pantomimes and Choreographic Works
- Pictorial, Graphic, and Sculptural Works
- Motion Pictures and other Audiovisual Works
- Sound Recordings
- Architectural Works

    1.2   Copyright protection does not extend to ideas, procedures, processes, systems, methods of operation, concepts, principles or discoveries.[3]

    1.3   Subject to certain exceptions listed in the Copyright Act, the owner of a copyright has the exclusive right to do and authorize any of the following[4]:

- Reproduce the copyrighted work
- Prepare a derivative work
- Distribute copies to the public by sale or other transfer of ownership or by rental, lease or lending
- To perform or display the copyrighted work publicly

Display: "to show a copy of it, either directly or by means of a film, slide, television image, or any other device or process or, in the case of a motion picture or other audiovisual work, to show individual images nonsequentially."[5]

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[1] 17 U.S.C. § 102 (2000).

[2] 17 U.S.C. § 102 (2000).
[3] 17 U.S.C. § 102 (2000)

[4] 4 17 U.S.C. § 106 (2000)
[5] 17 U.S.C. § 101 (2000)

Perform: "to recite, render, play, dance, or act it, either directly, or by means of any device or process or, in the case of motion picture or other audiovisual work, to show its images in any sequence or to make the sounds accompanying it audible."[6]

Derivative Work: "a work based upon one or more preexisting works, such as a translation, musical arrangement, dramatization, fictionalization, motion picture version, sound recording, art reproduction, abridgment, condensation, or any other form in which a work may be recast, transformed, or adapted. A work consisting of editorial revisions, annotations, elaborations, or other modifications, which, as a whole, represent an original work of authorship, is a derivative work."

1.4   Works in the public domain may be used freely and are not afforded the protection of the Copyright Act.[7] Examples of works in the public domain follow:

- Works created by the United States Government
- Unpublished works from authors who died before 1937
- Works published before 1923
- Works published between 1923 and 1977 with no notice of copyright

2.   May I make copies of a work to distribute in a face to face classroom setting?

The Classroom Exemption provision of the Copyright Act states the following is an acceptable use of copyright for which permission is not required: "performance or display of a work by instructors or pupils in the course of face-to-face teaching activities of a nonprofit educational institution, in a classroom or similar place devoted to instruction, unless, in the case of a motion picture or other audiovisual work, the performance or the display of individual images, is given by means of a copy that was not lawfully made under this title, and that the person responsible for the performance knew or had reason to believe was not lawfully obtained."[8]

2.1   What does the Classroom Exemption apply to?

- Nonprofit educational institutions
- Face to Face teaching (no transmissions)
- In classroom
- For instruction (not entertainment)
- All works regardless of medium (copies of audiovisual works must be legally obtained)

2.2   Has further guidance been provided regarding classroom use of copyrighted works?

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[6] 17 U.S.C. § 101 (2000)
[7] 17 U.S.C. § 105 (2000)
[8] 17 U.S.C § 110(1) (2000)

Yes. The legislative history of the Copyright Act includes a publication titled "Classroom Guidelines."[9] The Classroom Guidelines provide guidance to instructors, but are not codified as law. The House and Senate have accepted the Classroom Guidelines as part of their understanding of fair use.

2.2.1   Single copy for Teachers. An instructor may make a single copy of the following for teaching and preparation:

- Book chapter
- Article from periodical/newspaper
- Short story/essay/poem, whether or not from collective work
- Chart, graph, diagram, drawing, cartoon, illustration from a book, periodical or newspaper

2.2.2   Multiple copies for classroom use. An instructor may make only one copy of a copyrighted work for each student in his/her classroom if the following tests of Brevity, Spontaneity and Cumulative Effect are meet and each copy contains a copyright notice:

Test of Brevity
- Poem under 250 words: Instructor may copy the complete poem if it is under two pages
- Long poem: An Instructor may copy an excerpt not more than 250 words
- Prose under 2,500 words: Instructor may copy the complete work
- Long Prose: Instructor may copy not more than 1,000 words or 10% of work, whichever is less
- Illustration: Instructor may copy only one chart, graph, diagram, drawing, cartoon or picture per book or periodical issue
- Special Works: If the work combines language with illustrations and falls short of 2,500 words in its entirety, such work may not be reproduced entirely and the Instructor may reproduce an excerpt comprising not more than two pages and not more than 10% of the words

Test of Spontaneity
- The copying is at the instance and inspiration of the individual teacher; and
- The inspiration and decision to use the work and the moment of its use for maximum teaching effectiveness are so close in

---

[9] H.R. Rep. No. 94-1476 (1976), *as reprinted in* 1976 U.S.C.C.A.N. 5681, 5688 (hereinafter *Classroom Guidelines*)

time that it would be unreasonable to expect a timely reply to a request for permission

Cumulative Effect
- The copying of the material is for only one course in the school in which the copies are made
- Not more than one short poem, article, story, essay or two excerpts may be copied from the same author, nor more than three from the same collective work or periodical volume during one class term
- There shall not be more than nine instances of such multiple copying for one course during one class term
- The first two limitations above shall not apply to current news periodicals and newspapers and current news sections of other periodicals

    2.2.3   What uses are prohibited under the "Classroom Guidelines"?
- May not substitute anthologies, compilations or collective works
- No copying of consumable material including workbooks, exercises, standardized test and test booklets
- No charge for materials beyond the actual cost of photocopying
- Copying shall not:
  - Substitute for the purchase of books/periodicals
  - Be directed by higher authority
  - Be repeated with respect to the same item from term to term

3. What is the Teach Act?

The Teach Act applies to use of copyrighted works through transmission. The Teach Act is different from the Classroom Exemption because use may take place outside of the classroom and there are many more limitations. However, it only covers "in class" performances or displays that take place over a transmission. It does not include digital delivery of supplemental materials.

    3.1   What uses are covered by the Teach Act?

The Teach Act applies to the use of a work in an amount comparable to that which is typically displayed in the course of a live classroom session, by or in the course of transmission if certain limitations are complied with.[10]

    3.2   What limitations must be complied with under the Teach Act?

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[10] 17 U.S.C. § 110 (2) (2001)

3.2.1 The performance must take place under the supervision of the instructor and be an integral part of the class session and a regular part of the systematic mediated instructional activities of a nonprofit educational institution or governmental body. Mediated Instructional Activities are activities which use the work as an integral part of the class experience, are under supervision of the instructor, and are analogous to a display that would take place in a live classroom setting. The term does not apply to activities that use textbooks, course packs, or other material normally purchased for independent use by students.[11]

3.2.2 Use of the work must be directly related to and materially assist the teaching content of the transmission.[12]

3.2.3 The transmission must be limited to students enrolled in the course.[13]

3.2.4 The institution develops copyright policies and provides copyright notices to students enrolled in the course.[14]

3.2.5 The institution applies technological measures to prevent retention of the work by the recipients for longer than the class session and unauthorized further dissemination of the work. Furthermore, technological measures used by copyright owners to prevent retention or further dissemination must not be limited by the institution.[15]

4. **What is Fair Use?**

4.1 "The fair use of a copyrighted work, including such use by reproduction in copies or phonorecords or by any other means specified by that section, for purposes such as criticism, comment, news reporting, teaching (including multiple copies for classroom use), scholarship, or research, is not an infringement of copyright."[16]

4.2 What factors must be considered in determining whether an intended use is considered fair use under the Copyright Act?

4.2.1 "The purpose and character of the use, including whether such use is of a commercial nature or is for nonprofit educational purposes;"[17] Congress favors nonprofit educational uses over commercial uses.

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[11] 17 U.S.C § 110(2) (2001)
[12] 17 U.S.C § 110(2) (2001)
[13] 17 U.S.C § 110(2) (2001)
[14] 17 U.S.C § 110(2) (2001)
[15] 17 U.S.C § 110(2) (2001)
[16] 17 U.S.C. § 107 (2001)
[17] 17 U.S.C. § 107 (2001)

4.2.2 "The nature of the copyrighted work;"[18] This factor examines characteristics of the work being used. Courts more readily favor the fair use of nonfiction, rather than fiction.

4.2.3 "The amount and substantiality of the portion used in relation to the copyrighted word as a whole;"[19] Quantity must be evaluated relative to the length of the entire original and in light of the amount needed to serve a proper objective.

4.2.4 "The effect of the use upon the potential market for or value of the copyrighted work"[20] Effect is closely linked to the first factor "purpose." If the purpose is research or scholarship, market effect may be difficult to prove. If the purpose is commercial, then an adverse market effect is often presumed.

A checklist for determining fair use is attached as Appendix A. This will help make the decision whether to seek permission or a license or use the materials as fair use as defined above.

5. **What Guidance has been offered to clarify "Fair Use"?**

The Conference on Fair Use ("CONFU") has organized and developed guidelines relating to Fair Use in the digital context. It was made of forty organizations representing copyright owners, educators and librarians. The entire set of guidelines developed by the Conference on Fair Use is available on the United States Patent and Trademark Office website located at http://uspto.gov. Be aware that existing license or contractual terms may further limit use of a copyrighted work.

5.1 What guidelines have been provided on Fair Use of digital images?

CONFU developed a set of guidelines to clarify Fair Use as applied to digital archives and images for educational purpose and includes digitizing of pre-existing analog images.[21]

5.1.1 What do the CONFU Digital Image Guidelines apply to?

The CONFU Digital Image Guidelines apply to pre-existing analog image collections and already acquired analog visual images. The CONFU Digital Image Guidelines do not apply to images acquired in digital form, images in the public domain or images for which permission has already been obtained.[22]

5.1.2 As an Instructor, how may I use digital images?

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[18] 17 U.S.C. § 107 (2001)
[19] 17 U.S.C. § 107 (2001)
[20] 17 U.S.C. § 107 (2001)
[21] The Conference on Fair Use, Final Report to the Commission on the Conclusion of the Conference on Fair Use, November 1998 (hereinafter *CONFU*), 36
[22] The Conference on Fair Use, Final Report to the Commission on the Conclusion of the Conference on Fair Use, November 1998 (hereinafter *CONFU*), 36

CONFU suggests that an instructor may use digital images for educational purposes including face-to-face instruction, research and scholarly activities. The instructor may compile the digital images for display over an institution's secure network only to students enrolled in a specific course. There must be technological limitations, such as a password, to limit access to students enrolled in the course. The instructor must also provide appropriate copyright notice. The enrolled students may use the images for class use, after class review or directed self study. Instructors may also use digital images in connection with lectures or presentations in their fields.[23]

5.1.3   As an instructor, how long may I display images for a specific course over the institution's secure network?

An instructor may only display the images for the semester or term in which the course is given. Any further use of the image exceeds the use recommended by CONFU.[24]

5.1.4   How can my students use digital images under the CONFU Digital Images Guidelines?

CONFU states students may (1) use digital images in a course assignment, (2) publicly display their academic work incorporating digital images in courses for which they are registered and during formal critiques at a nonprofit educational institution, and (3) retain their academic work in their personal portfolios for later uses such as graduate school and employment applications.[25]

5.1.5   What uses are prohibited by the CONFU Digital Images Guidelines?

The CONFU Digital Images Guidelines do not allow for digitization of an image if the image is already available in a usable digital form for purchase or license at a fair price, or if the underlying image was not lawfully obtained.[26]

5.1.6   Should I still try and obtain permission of the copyright owner?

When digitizing images under the guidelines, the instructor should simultaneously conduct the process of seeking permission to retain

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[23] The Conference on Fair Use, Final Report to the Commission on the Conclusion of the Conference on Fair Use, November 1998 (hereinafter CONFU), 37

[24] The Conference on Fair Use, Final Report to the Commission on the Conclusion of the Conference on Fair Use, November 1998 (hereinafter CONFU), 37

[25] The Conference on Fair Use, Final Report to the Commission on the Conclusion of the Conference on Fair Use, November 1998 (hereinafter CONFU), 38

[26] The Conference on Fair Use, Final Report to the Commission on the Conclusion of the Conference on Fair Use, November 1998 (hereinafter CONFU), 38

and use the images. The instructor should conduct a reasonable inquiry if the rightsholder is unknown. A reasonable inquiry includes checking information within Rush's control, asking relevant staff, faculty and librarians, consulting standard referenced publications and databases, and consulting rights and reproduction collections and major professional associations who represent copyright owners.[27]

5.1.7   What other factors should I consider when digitizing works under the CONFU Digital Images Guidelines?

First, in order to fully comply with the CONFU Digital Images Guidelines, the intended use should be spontaneous. "The inspiration and decision to use the work and the moment of its use for maximum teaching effectiveness are so close in time that it would be unreasonable to expect a timely reply to a request for permission."[28]

Second, the instructor should acknowledge the copyright source and provide notice which includes the name of the source, a bibliographic description and an IP address if the source is electronic.[29]

5.2   What guidelines have been provided on Fair Use of copyrighted works in educational multimedia?

CONFU developed a set of guidelines to clarify Fair Use and distinguish multimedia projects from digital images.[30]

5.2.1   What do the CONFU Multimedia Projects Guidelines apply to?

The CONFU Multimedia Projects Guidelines apply to a display that incorporates a student's or instructor's original material with various copyrighted works. The project must be for educational purposes, a part of a noncommercial curriculum and systemic learning activities, and must be made by educators to students enrolled in a nonprofit educational institution.[31]

5.2.2   How may I perform or display my own educational multimedia project for curriculum based instruction?

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[27] The Conference on Fair Use, Final Report to the Commission on the Conclusion of the Conference on Fair Use, November 1998 (hereinafter CONFU), 38

[28] The Conference on Fair Use, Final Report to the Commission on the Conclusion of the Conference on Fair Use, November 1998 (hereinafter CONFU), 38

[29] The Conference on Fair Use, Final Report to the Commission on the Conclusion of the Conference on Fair Use, November 1998 (hereinafter CONFU), 38

[30] The Conference on Fair Use, Final Report to the Commission on the Conclusion of the Conference on Fair Use, November 1998 (hereinafter CONFU), 49

[31] The Conference on Fair Use, Final Report to the Commission on the Conclusion of the Conference on Fair Use, November 1998 (hereinafter CONFU), 49

- For face to face instruction
- Assigned to students for directed self study
- For remote instruction to students provided it is transmitted only to students enrolled in the specific course, over Rush's secure network in real-time for after class review or directed self study, there are technological limitations on access such as a password and there is technology that prevents the making of copies of the copyrighted[32] material.[33]

5.2.3   What if the technology used to transmit the project does cannot prevent duplication of copyrighted material?

The CONFU Multimedia Projects Guidelines suggest that if the technology cannot prevent duplication of copyrighted works, the instructors and students may use the project over an otherwise secure network for only 15 days. After that period, one copy of the project may be placed on reserve in the library for on-site use by students enrolled in the course and the students should be advised that they cannot make copies of the project.[34]

5.2.4   Can my students create multimedia projects with copyrighted material?

Students may perform and display their own educational multimedia projects for educational uses in a specific course or as part of their own portfolio for later personal uses such as a job or graduate school interviews.[35]

5.2.5   What are the limitations on use of copyrighted works in multimedia projects developed by both students and instructors?

Time: If the technology used to display the project has restrictions on copying, the project may be displayed for up to two (2) years. If the technology used to display the project does not have copying restrictions, the project may be displayed for 15 days.

Text: Up to 10% or 100 words, whichever is less, may be incorporated from text material into an educational multimedia project.

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[32] The Conference on Fair Use, Final Report to the Commission on the Conclusion of the Conference on Fair Use, November 1998 (hereinafter CONFU), 49

[33] The Conference on Fair Use, Final Report to the Commission on the Conclusion of the Conference on Fair Use, November 1998 (hereinafter CONFU), 49

[34] The Conference on Fair Use, Final Report to the Commission on the Conclusion of the Conference on Fair Use, November 1998 (hereinafter CONFU), 52

[35] The Conference on Fair Use, Final Report to the Commission on the Conclusion of the Conference on Fair Use, November 1998 (hereinafter CONFU), 52

Motion Media: Up to 10% or 3 minutes, whichever is less, of a copyrighted motion media work may incorporated as part of an educational multimedia project.

Music, Lyrics and Music Video: Up to 10% or 30 seconds, whichever is less, may be incorporated as a part of an educational multimedia project.

Illustrations and Photographs: A photograph or image may be used entirely but no more than five (5) images from the same artist may be incorporated into one educational multimedia project. If the images come from a collective work, not more than 10% or 15 images from the collective work, whichever is less, may be incorporated as part of an educational multimedia project.

Numerical Data Sets: Up to 10% or 2500 fields or cell entries, whichever is less, from a copyrighted database or data table may be incorporated as a part of an educational multimedia project.[36]

5.2.6 What other factors should I consider when preparing an educational multimedia project under the CONFU Multimedia Projects Guidelines?

First, instructors should only make alterations to portions of copyrighted works in educational multimedia projects if the alterations support specific educational objects. Notation must also be included that alterations have been made.[37]

Second, the instructor should acknowledge the copyright source and provide notice which includes the name of the source, a bibliographic description and an IP address if the source is electronic.[38]

6. **Do I need to get copyright permission to place material on the Electronic Reserves System or in online courses?**

Depending on the extent of use intended, you may need to get copyright permission to place material on the Electronic Reserves System or in online courses. Use of copyrighted works (1) on the electronic reserves system, or (2) in online courses which are not covered under the Teach Act, is governed by the Fair Use provision of the Copyright Act. If permission has not been obtained, such use should be limited in length to a single journal article or chapter from a book. The materials should be placed in a password protected section of the online course or electronic reserves system designated for your course and accessible

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[36] The Conference on Fair Use, Final Report to the Commission on the Conclusion of the Conference on Fair Use, November 1998 (hereinafter CONFU), 53-54

[37] The Conference on Fair Use, Final Report to the Commission on the Conclusion of the Conference on Fair Use, November 1998 (hereinafter CONFU), 56

[38] The Conference on Fair Use, Final Report to the Commission on the Conclusion of the Conference on Fair Use, November 1998 (hereinafter CONFU), 55

only to students enrolled in the course. The materials must be removed at the end of the quarter. If you plan to use the materials again, you must request permission.

If Rush already licenses the materials you intend to place on the Electronic Reserves System or in online courses, you may provide a URL that links to the licensed product without requesting further permission.

7. **What if my intended use is not covered by the Classroom Exemption and Teach Act provisions of the Copyright Act or under the CONFU Guidelines?**

Any uses which are not covered under the Classroom Exemption and Teach Act provisions of the Copyright Act or under the CONFU Guidelines should be analyzed under the Fair Use Section of the Copyright Act described in Section 4 above. It is advised that instructors document the reasoning behind determining an intended use is fair under the Copyright Act.

8. **How do I request copyright permission?**

Contact each publisher of the article you want to use. You will usually only be charged the copyright (royalty) fee plus a charge for the number of copies of each article you plan to use. In some cases, depending on the publisher and the publication, permission may be free. You can call the Library Services Desk at (312) 942-5950 for publisher addresses, fax numbers and e-mail addresses. Many publishers will have their own permission form to use when requesting permission to use a specific work. A sample copyright permission letter is attached as Appendix B.

Instructors can use the Rush University Bookstore to provide course packs for their courses. The Rush University Bookstore will determine the charge based on the number of citations and publisher royalty fee. The Rush University Bookstore then sells the course packets to students along with the textbooks for the course.

APPENDIX B

SAMPLE COPYRIGHT PERMISSION LETTER

[Date]

Dear _____,

I am working on the following project:_____ , and would like your permission to incorporate the following material into this Project:_____

_____

_____

The material will be used as follows: _____

_____

The material will be accessible to the following individuals:_____

_____

If you do not own the copyright on the material, I would appreciate any contact information you can give me regarding the proper rights holder(s).

If you agree to provide permission to use the material on the terms described above, please sign the release form below and send one copy to my attention.

Sincerely,

[Signature]

[Typed name]

_____

Permission granted for the use of the material as described above:

Agreed to: _____ Name & Title: _____

Date:_____

Creating Permanent Links 🔗
A Guideline to the Basics

Definition: A permanent link is a web address that will consistently point to a specific information source. It is a no-fail method of linking to articles (avoids "link rot"). A permanent link is also known as a permalink, stable link, durable link, persistent link, or document link.

Why can't I just copy the URL in my browser's address bar?

- You may be in violation of copyright law or the usage license from a supplier if you email or post a PDF or other content directly.
- URLs that appear in the address bar of your web browser when you search the library's subscription databases often contain dynamically generated, session-based or search-based information that only works for that search session.
- Using permalinks also ensures that only users that are authorized to view the content will be able to do so, since they will use the library's proxy server.

How does a permalink will work from off-campus?

When on campus, access is automatic. You are being authenticated even if you don't realize it because the database vendor is able to recognize and authenticate your computer's IP address. **When off-campus, authentication happens via a proxy server.**

This handout will cover four ways to create a permalink:

- Using links supplied by EbscoHost
- Using a DOI (Digital Object Identifier) and manually linking it to our proxy prefix
- Using a DOI (Digital Object Identifier) and our Proxyfier
- Using the "Capture Citation" option offered by SFX in our online catalog

Creating permalinks from items supplied by EbscoHost

The following EbscoHost databases offer PDF access.

- Academic Search Premier
- Business Source Elite
- CINAHL
- ERIC
- Health Source: Nursing/Academic Edition
- PscyARTICLES
- PsycINFO

To create a permalink to an item accessed through one of the above databases:

1) Click on the link icon and the word "Permalink" as shown below.

2) That will bring up a box with the permalink address inside it. That is your permalink. Copy and paste into your syllabus or other document. Remember to test it from off-campus.

Creating a Permalink from a DOI

A DOI, or Digital Object Identifier, can be used to create permalinks. First you need to find the DOI. Often they are given with citation information (see example from PubMed below).

Results: 1 to 50 of 92

Page 1 of 2 Next > Last >>

☐ Meta-analysis of ischaemic preconditioning for liver resections.
1. O'Neill S, Leuschner S, McNally SJ, Garden OJ, Wigmore SJ, Harrison EM.
Br J Surg. 2013 Dec;100(13):1689-700. doi: 10.1002/bjs.9277. Review.
PMID: 24227353 [PubMed - indexed for MEDLINE]
Related citations

☐ Reliability of transcutaneous bilirubin devices in preterm infants: a systematic review.
2. Nagar G, Vandermeer B, Campbell S, Kumar M.
Pediatrics. 2013 Nov;132(5):871-81. doi: 10.1542/peds.2013-1713. Epub 2013 Oct 14. Review.
PMID: 24127473 [PubMed - indexed for MEDLINE]
Related citations

☐ Important predictor of mortality in patients with end-stage liver disease.
3. Kim HJ, Lee HW.
Clin Mol Hepatol. 2013 Jun;19(2):105-15. doi: 10.3350/cmh.2013.19.2.105. Epub 2013 Jun 27. Review.
PMID: 23837134 [PubMed - indexed for MEDLINE] Free PMC Article
Related citations

The DOI can also be found by using this website: http://www.crossref.org/guestquery/

Once you have the DOI, you can either manually create a permalink by adding Rush's proxy prefix, or you can use our Proxyfier tool.

Creating a Permalink from a DOI <u>Manually</u>

A proxy allows off-site users to access Rush's online resources. A proxy prefix is essential to gaining access. The DOI proxy prefix for Rush University Medical Center is:
http://ezproxy.rush.edu/login?url=http://dxdoi.org

Add this prefix to the DOI and you have a permalink.

http://exprozy.rush.edu/login?url=http://dxdoi.org10.1097/HP.0b013e3182a4ec2f

              Library Proxy Prefix   DOI

Creating a Permalink from a DOI <u>Using The Proxyfier</u>

Rush provides a tool to make this easy: the Proxyfier. The Proxyfier can be found on the library's homepage, under "Services." It will ask for the DOI and will automatically add the proxy prefix for you, creating a permalink.

The Proxyfier can be found at <u>http://rushu.libguides.com/proxyfier</u>

Library of Rush University Medical Center

RUSH UNIVERSITY
MEDICAL CENTER

Library Home Page » All Library Help Topics » Images and Sandbox

Images and Sandbox

Home Proxyfier
Proxyfier

Search:

Proxyfier

Put your Perma-Link here:
OR

Put your DOI here: Submit

Comments

Creating a Permalink from the "Capture Citations" option

Get It ! Capture Citation button

a. Search for the journal article via any of the Library databases. (PubMed, OVID Medline, CINAHL, Scopus, PsycInfo, EbscoHost databases)

b. Click on the Get It! button.

c. If the Library subscribes to the journal, click on the GO button next to Save Citation Information

d. Copy and paste the URL in the Capture Citation to create the permanent link.

Tips:

- When you copy/paste URLs into the URL converter, make sure there is not a space at the beginning of the address, before the http
- There should be no spaces at all within the permalink
- Double check your links, from campus and off-campus
- Only create permanent links to material that we own
- Not all article or book chapters have a DOI
- The Proxyfier can be found at: http://rushu.libguides.com/content.php?pid=488265 or on the Library's home page under "Services."

Sample permalink:

http://exprozy.rush.edu/login?url=http://dxdoi.org10.1097/HP.0b013e3182a4ec2f

Information Security
April 2014

Overview

- What is a computer virus?
- How computer viruses and malware work
  - Examples of malware and computer virus infections
- Protecting your identity
  - User accounts
  - User account password
  - Social engineering
- What is Rush IS doing to protect us against computer virus?
  - Intruder detection and intruder prevention technologies
  - Information Security policies
    - Computer device and media controls
    - User account and password policy

RUSH

- A computer virus is a program that run malicious activities on your computer and spreads by infecting files or the system areas of a computer

- A computer program is designed to infiltrate or damage a computer system without the owner's consent

- A computer virus

  - Maliciously changes data file content

  - Destroys or hides files

  - Extracts unauthorized personal information

- # Unauthorized access
  - Ability of malware to extract personal information and perform system operations without the user's consent

- # Destruction
  - Ability of malware to delete critical system files and halt computer operation

- # Propagation
  - Ability of malware to spread to other systems through either physical access, through network access, or through the internet

RUSH

Malware can propagate via…

E-MAIL

NETWORK SHARES
REMOVABLE DRIVES

INSTANT MESSAGING

P2P

SOCIAL NETWORKING SITES

EXPLOIT

RUSH
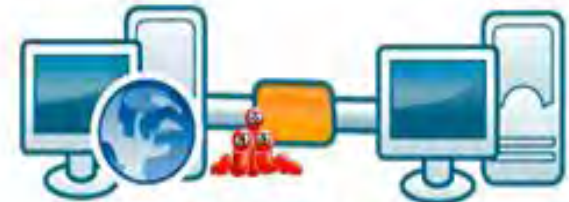
- Malware is currently the number one computer threat to universities and colleges.
  - Higher education networks are 300% more likely to contain malware than their enterprise and government counterparts.
    - Proliferation of personal devices
    - Devices not running antivirus software
    - Higher education computing environment requires
      - Access to internet, ability to collaborate, and limited access controls

Malware and computer virus attacks

- **Healthcare**
  - According to a study by Pnonemon Institute (2012). Data breaches in healthcare organizations are in the rise
    - 96% of all healthcare providers say they have had at least one data breach in the last two years .
    - 49% or respondents in the study cite lost or stolen computing devices
- **Retail**
  - Target: December 2013, announced a data breached affecting 40 million credit card and debit card customers
- **Banking**
  - Neiman Marcus: January 2014, reported that the banking industry was tracking a pattern of fraud involving credit cards
- **Hotel**
  - White Lodging: January 2014, reported a data breach that affected hotel franchises under the Hilton, Marriot, Sheraton, and Westin brands

Hacker attack

Attacker creates a malicious Web page containing a malformed media file (.AVI) also known as KB971778 and CVE-2009-1537

1

CVE-2009-1537

2 User is enticed to visit malicious Web page, invoking malformed media file, which downloads data stealing trojan

3

Data stealing trojan captures entered information and sends it to an attacker

Image by:
Microsoft Malware Protection Center
http://www.microsoft.com/av

Compromised web site

Arrival Details

- This Trojan arrives via Malspam
- The Malspam is in HTML format
- The mail disguise as a shipping notification from UPS
- The mail has a link that will download a zip file containing a malicious executable code

Delivery Notification : HOEHKAG770HOEHKAG985

File Edit View Tools Message Help

Reply   Reply All   Forward   Print   Delete   Forward   Addresses

From:
Date:
To:
Subject: Delivery Notification : HOEHKAG770HOEHKAG985

ups

Package invoice delivery confirmation for HOEHKAG770HOEHKAG985

The shipping invoice can be downloaded from
http://www.ups.com/WebTracking/track?
loc=en_cbviewrece

*** This is an automatically generated email send to s_kanaku@rhbbank.com.my , please do not reply ***

© 2014 United Parcel Service of America, Inc. UPS, the UPS brandmark, and the color brown are trademarks of United Parcel Service of America, Inc. All rights reserved.
For more information on UPS's privacy practices, refer to the UPS Privacy Policy
Please do not reply directly to this e-mail. UPS will not receive any reply message.
For questions or comments, visit Contact UPS.

This communication contains proprietary information and may be confidential. If you are not the intended recipient, the reading, copying, disclosure or other use of the contents of this e-mail is strictly prohibited and you are instructed to please delete this e-mail immediately.

The malware is currently detected as TROJ_FORUCON.BMC

Malicious Website

Follow instructions
to setup account…

You should receive
your first check within…

Registration deadline
is on Wednesday…

Identity Management

How to Get Hacked in Three Steps

1. **Choose an easy password.** For years, the No. 1 most commonly chosen password in the world was the word "password."

   – According to SplashData's annual Worst Passwords List, "password" is no longer the No. 1 most used password. It's been surpassed — by "123456."

- **OR** Configure strong password by using creative phrases

   – For example, you can compose a password from the initials of a fun phrase… "**29 grams of fat in a Big Mac**") ⟶ "29gofiabm"

2. **Set the same password for all your important online accounts.** Use that same, easy-to-memorize password for Yahoo, Facebook, Twitter, Amazon, your bank, and your credit cards.

   – That way, if the bad guys manage to get their hands on *one* of your accounts, they can also get into all your other accounts

- **OR** You can vary the password for each website

   — Tacking on each site's first initial at the end.

   For Facebook, "29gofiabm**f**" for example; for Yahoo, "29gofiabm**y**"

3. When a bank or another company emails you to report a problem with your account, click the link and log in!

- That particular scam — sending phony email that seems to be from your bank or another big company — is known as *"phishing"* Thousands of people every year get scammed this way.

What is Rush doing to protect us from "Computer Hackers"

Intruder detection and intruder prevention technologies
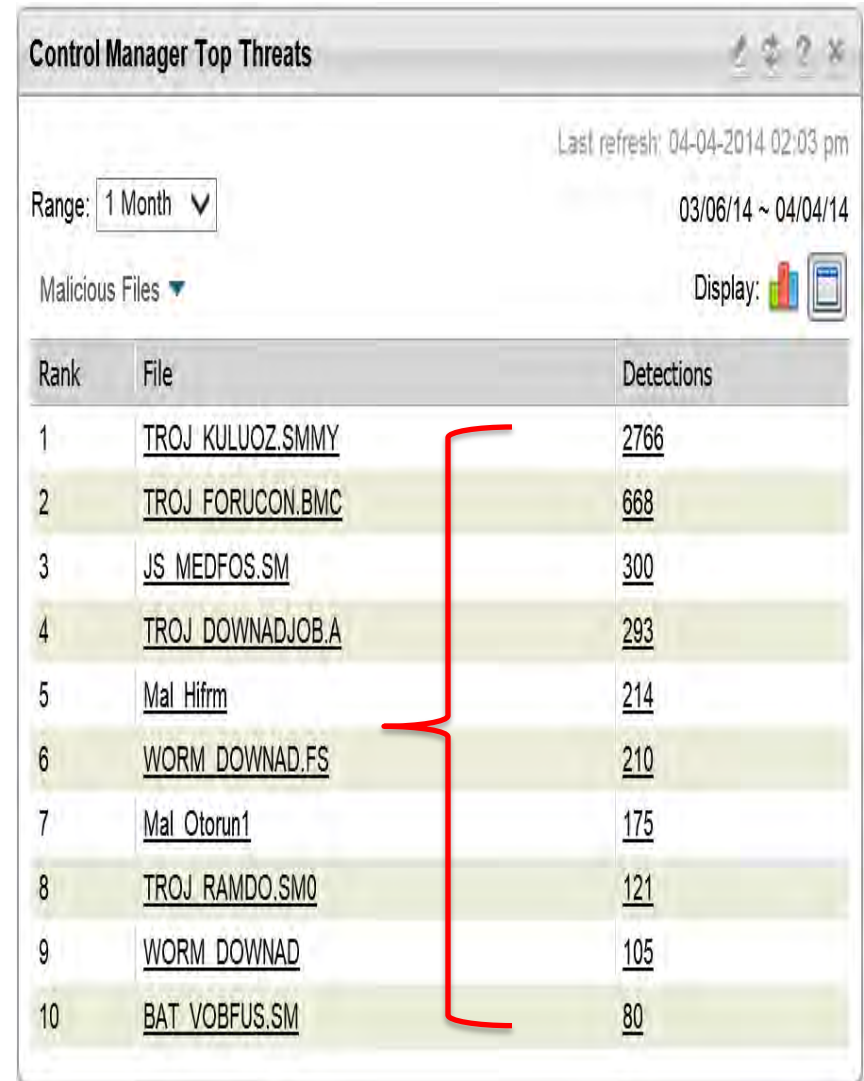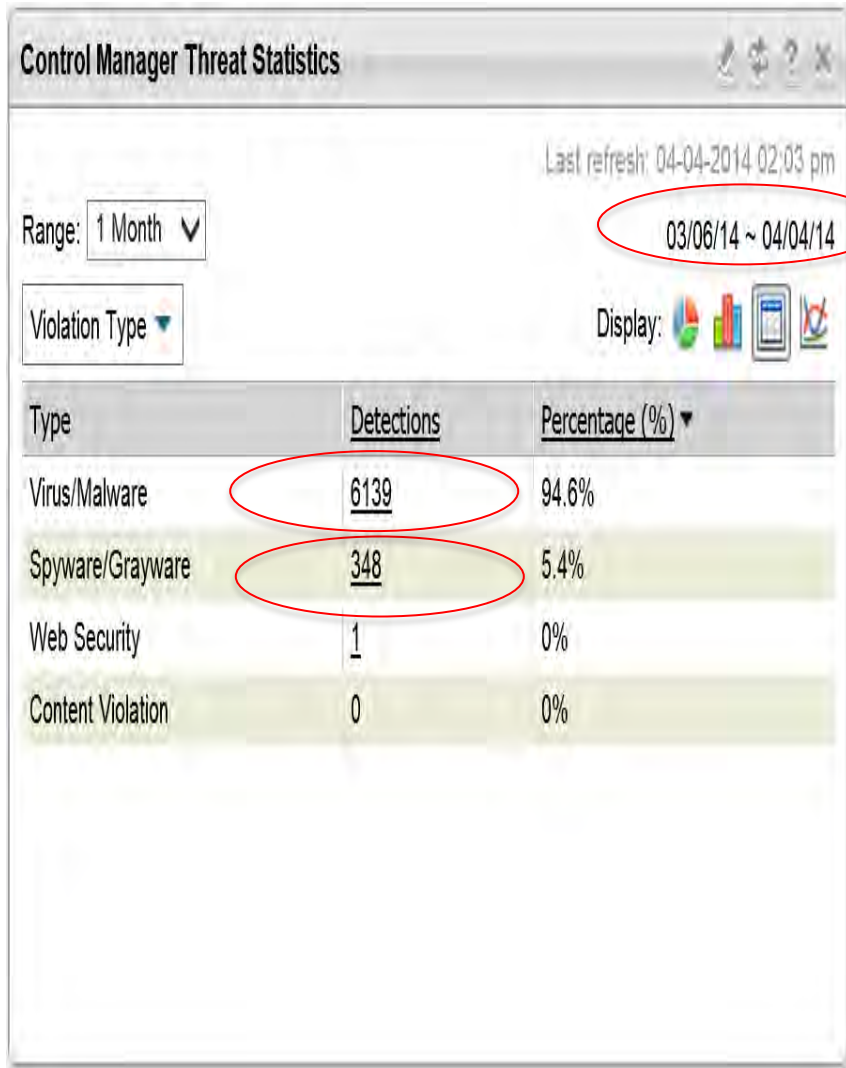
Remember?

Malware can propagate via…

E-MAIL

NETWORK SHARES

REMOVABLE DRIVES

INSTANT MESSAGING

P2P
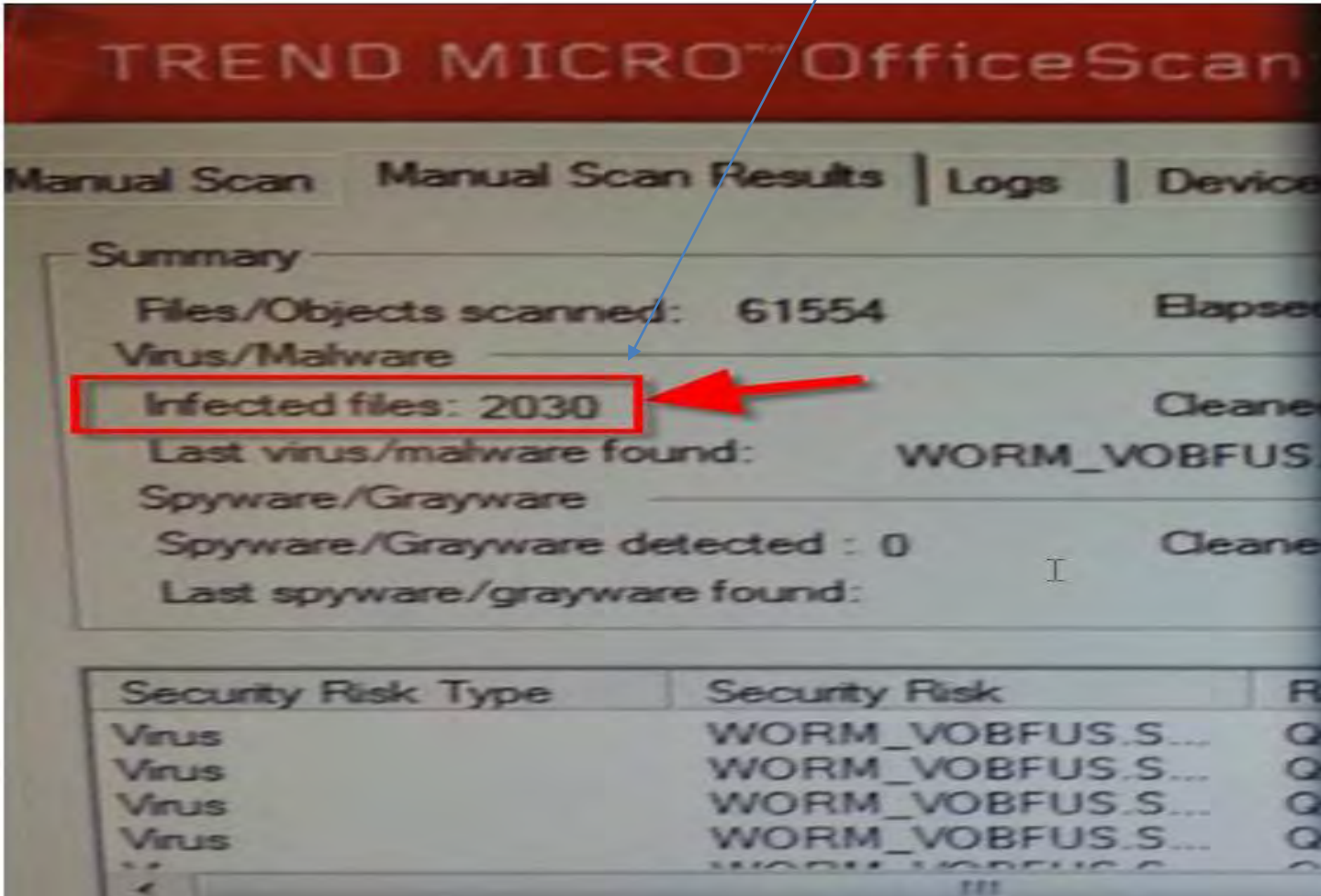
SOCIAL NETWORKING SITES

EXPLOIT

USB Infected Drives

One USB device with 2030 viruses

Virus Infected USB Drives
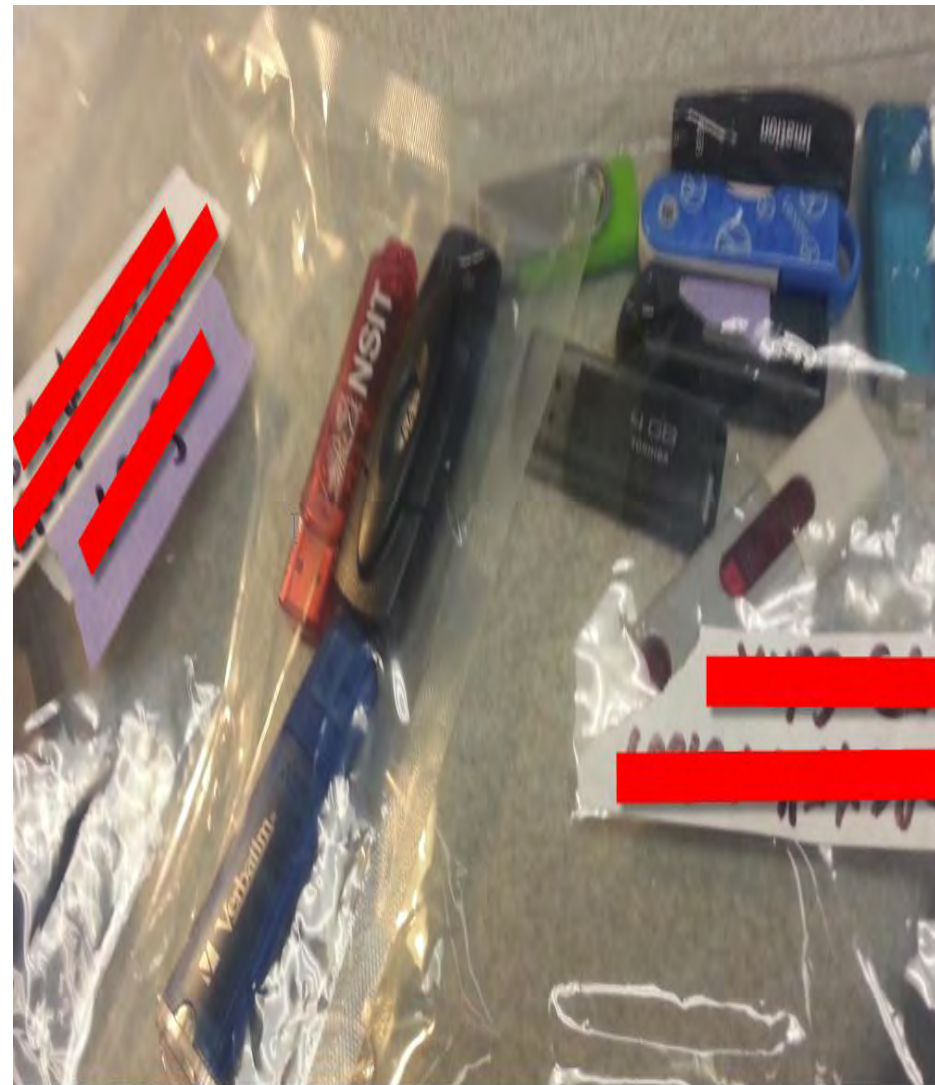
USB Drives

- Highly popular due to ease and mobility of USB drives

  - However, sensitive and valuable data stored within the USB can be easily lost or stolen

- Recommendation

  - Use hardware encrypted USB drives

    - Average cost for a 8GB USB encrypted drive is between $25 to $40

      1. Must meet Federal Information Processing Standards (**FIPS**). Cryptography standard program to secure sensitive data.
      2. Must have 256-bit **hardware** encryption
      3. Must be Windows, MAC, and Linux compatible

    - Top vendor; Kingston, Imation, Kanguru, IronKey,

⬤ RUSH

- ## Computer Device and Media Controls Policy OP-0385

  – Establishes baseline of information security controls to protect sensitive information

    - All Rush owned devices must have anti-virus software installed

    - Computer operating system must be running latest security patches

    - All Rush owned laptops must have disk encryption

    - Sensitive Email communication is encrypted

Information Security Policies

RUSH

- Password Policy OP-0288
  - Established a baseline for "stronger" user account passwords
    - New Password
      - Must be at minimum eight characters long
      - Passwords must be reset every 180 days
    - Must contain at least three of the following
      - Must contain lower case alphabetical letters, such as (agq…)
      - Must contain upper case alphabetical letters, such as (AGQ…)
      - Must contain numbers, such as (159…)
      - Must have a non-alphabetical or numeric character, such as (@#%...)

Planning and Designing an Academic Course

LOLA A. COKE, PHD, ACNS-BC

ASSISTANT PROFESSOR

CLINICAL NURSE SPECIALIST

ADULT HEALTH & GERONTOLOGICAL NURSING

Course Design Priorities

- Where does the course fit in with the program curriculum?
- **How does the course relate to other courses…level of course?**
- Who are the students that will enroll?
  - Number
  - Prior knowledge
- What is worth being familiar with?
- What is important to do and to know?
- Where does the course begin and end?
- **What is part of "enduring understanding"?**
- Teaching environment

Program Essentials/Competencies to Consider for Each Course

- University level competencies—HLC
  - Interprofessionalism
  - Cultural Sensitivity
  - Inclusivity
- Program Competencies- Accrediting Bodies
- Role Scope of Practice
- National Trends and Standards---IOM Report
- **AND….**
  - Futuristic visionary goals
  - Cutting edge content
  - **Leadership and "Big Picture"**

Components of Interactive Course Design

- Learning goals/objectives
  - Course goals: general statements that define an effective course (what the course should do)
  - Objectives: Specific content/skills to be learned
- Outcomes—3-5 per course
  - Student learning outcomes are specific results the students should achieve
- Teaching Activities
- Learning Activities
- Feedback and Assessment—not everything needs a grade!

Universal Design for Learning

- Accommodates the needs and abilities of all **learners...offers flexibility**
- Provide options for perception: different access to **information...PPT,** Panopto, Ipod
- Provide options for expression: multiple ways to demonstrate knowledge acquisition and skills
- Provide options for comprehension: multiple ways to **engage in course activities...group, single**

  - www.cte.cornell.edu

Universal Instructional Design

- Create a welcoming, respectful learning environment
- Address essential course components
- Communicate clear expectations and provide constructive feedback
- Provide support (including technology) for learning to enhance opportunities for all learners
- Use teaching methods that consider diverse learning styles, abilities, previous experience and background knowledge
- Offer multiple ways for students to demonstrate knowledge
- Promote interaction among students/faculty

Curricular Learning Outcomes

- Outcomes: What do we want students to be able to do after the course?
- Identify: Where in the curriculum are the outcomes addressed?
- Measures: How well are students achieving the outcomes?
- Revision: What changes can be made to the course to improve student achievement?
- Re-Measure: Did the revision to the curriculum work?

Developing Course Learning Outcomes

- Learning outcomes are measureable statements that articulate what students need to know, do or value
- Example:
  - As a result of this course students will be able to:

- Sets the stage for selecting course content
- Drives the assessments for demonstration of knowledge and skills

Good Learning Outcomes are:

- Student focused not professor focused
- Focused on the learning resulting from an activity rather than on the activity itself
- Focused on skills and abilities central to the discipline and based on professional standards of excellence
- General enough to capture important learning but clear and specific enough to be measureable
- Focused on aspects of learning that will develop and endure but can be assessed in some form now

Developing Learning Objectives

- Knowledge: What are the most important things a student should know (cognitive)?
- Performance: What are the most important things a student should do (performance/skills) to be considered competent?
- Conditions: What are the important conditions under which the performance is to occur?
- Criterion: What is an acceptable level of performance?
- **Use Bloom's Taxonomy to write the objectives**
- Avoid unclear verbs that cannot be observed or measured easily, i.e. appreciate, become familiar with, know, learn and understand

Bloom's Taxonomy
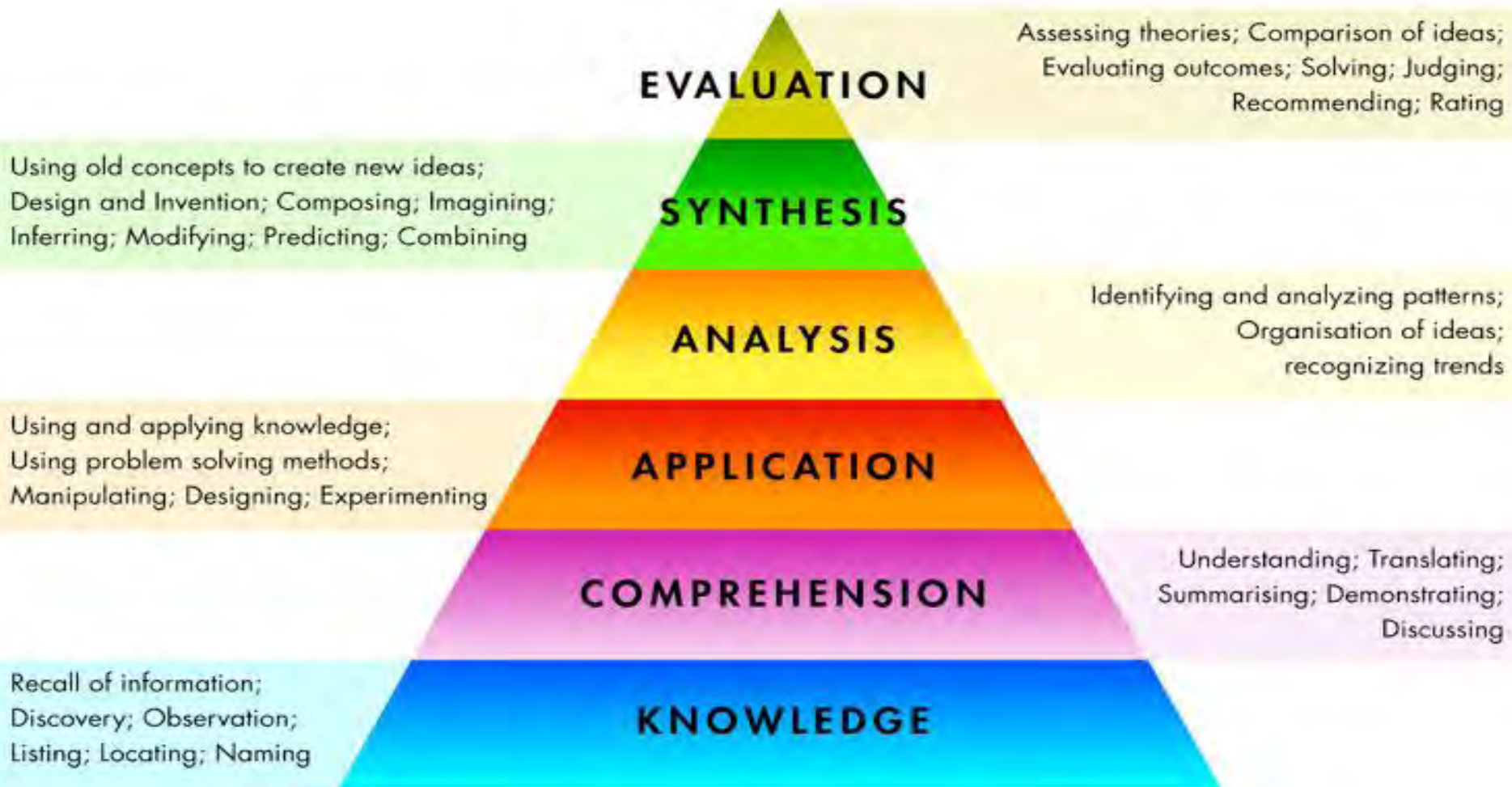
Bloom's Taxonomy

- Cognitive Level categories for goals (handout)
  - Create
  - Evaluate
  - Analyze
  - Apply
  - Understand
  - Remember

Writing an Outcome/Objective

Outcome: You want the students to learn how to read the literature and be able to critique the content.

Write a learning outcome:

At the end of the course the student will……

Write the objective:

Learning Objectives

Which objective is the best:

- The student should understand critical thinking.
- The student can describe two examples that illustrate critical thinking.

Learning Objectives Provide

- Data for the program and university
  - Facilitate understanding of learning needs
  - Document effectiveness of instruction
  - Guides course/program improvement
  - Meets the requirements of accrediting bodies

Learning Objectives

- Helps students
  - Decide what they need to do to be successful
  - Take ownership of student progression
  - Guides how they study content

Designing a Syllabus

- Syllabi should be standardized:
  - University-wide
  - Program-wide
- The syllabus should be a promise to students
  - What will students gain in knowledge and skills
  - Reinforces student take-away from the course
  - Activities students will engage in to meet the objectives
  - Methods to assess student performance

Syllabus Contents

- Course information: Course number, location, time, prerequisites and other requirements.
- Faculty information
- Relationship of course to curriculum/program
- Learning objectives/outcomes
- Topics of the course
- List of assignments: reading materials

Syllabus Contents

- Weekly and daily schedule
- Test dates
- Assignments
- Consequences for missed classes/exams/assignments
- Grading criteria and percentages
- Rubrics
- Ground rules: classroom etiquette, testing rules, late or omitted assignments
- Safety procedures for labs/dress codes
- Resources for learners

Course Level Assessment

- Indirect:
  - Evaluations
  - Test Blueprints
  - Student hours
  - Standardized tests
  - Capstone/Thesis Evaluation

- Direct:
  - Assignments
  - Exams and quizzes
  - Projects
  - Case study analysis

Syllabus

- Include diversity and disability statement in the syllabus: Universal Design for Learning (UDL)
- Classroom code of conduct
- Campus services available
- Honor code for academic integrity

Syllabus Changes during a Term

- Need to be placed in writing
- Need all students to agree
- Need to be sure all students are informed
- Need to make sure the syllabus is intact prior to a **course…students are held to it as a contract**

The First Day of Class

- Spend little time on the syllabus—refer to it often over time
  - Set the expectation that students need to know what is in it
- Generate interest in your subject area
  - How might you do that??
- Delineate course expectations
- Create an inclusive environment
- Emphasize learning over grades
  - Real life scenario of how the content will apply
- Build a learning-centered community
  - Get to know each other---ice breaker activity
  - Build rapport
  - Establish ground rules

The First Day of Class: Establishing Ground Rules

- Decide what is non-negotiable
- May change syllabus ground rules based on discussion
- Have students develop the ground rules
  - What would be a good learning environment?

- Ground rules hold students accountable
  - Prevent potential conflicts
  - Students understand expectations
  - Respect and safe learning environment

Icebreaker Activities

- What is the goal of the icebreaker?
- Who is involved?
  - Help students find a partner
  - Who will start first…based on hair length or birthdate?
- Fun activity to get to know one another
  - Students may already know each other, so need to find a fun one!
  - What do you want to achieve?
  - Consider the room space…will it work?

Flipping the Classroom

- Inverted teaching:
  - Engage students actively
  - Lectures delivered electronically pre-class
  - Allows time for active learning, discussion, problem based learning, group work, peer instruction
  - Communicate about prep time outside of class
  - Incentives for outside preparation, i.e. quizzes
  - Need to build in mechanisms to ensure students are prepared
  - **Start small in your course....one or two lectures**
  - Advance notice and planning are essential

Academic Integrity

- Why do students violate academic codes:
  - Lack confidence, under time pressure
  - Easier to cheat than do work themselves
  - Course design emphasizes grades over learning experiences.
    Course design:
  - **Can't cheat easily**
  - Influence sense of integrity
  - Degree of consequences
  - Comfort in working with instructor/asking questions
  - Assignments are learning experiences not just grades

Academic Integrity

- Include an academic integrity statement
- Environment that encourages questions/learning
- Provide experiences for students to master skills
- Explain the ground rules and tools used to deter academic dishonesty
- **Create original project ideas...can't find on web.**

Incorporate Diversity

- Design course with a variety of course materials, teaching methods, learning activities
- Issues of diversity are added to the course learning outcomes and topics
- What are the cultural influences and ways to teach that need to be incorporated?
- Represent various perspectives
- Include a variety of learning styles and preferences

Student Evaluation

- Useful to provide data for modifying or re-designing courses
- Sends a positive message to students that there is interest in their feedback.
- Mid-**term and final evaluations…performance and** course evaluations
- Evaluate learning goals and specific behaviors
- Encourage students to complete
  - Anonymous
  - Clear directions to complete
  - Do during class time

Student Evaluation

- Short, well thought out questions
- Show students how to give constructive feedback
  - Focus feedback on behavior not the person
  - Focus feedback on observations not inferences
  - Focus feedback on descriptions not judgment
  - Focus feedback on the value for the student

Review the Packet

- Speaking of Teaching
- Planning your Course: A Decision Guide
- Syllabus Evaluation Rubric
- **Bloom's Cognitive Taxonomy**
- Outcome Review Checklist
- Universal Instructional Design Checklist

Thank you for your attention!!!!

Student Evaluation

- Short, well thought out questions
- Show students how to give constructive feedback
  - Focus feedback on behavior not the person
  - Focus feedback on observations not inferences
  - Focus feedback on descriptions not judgment
  - Focus feedback on the value for the student

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Thank you for your attention!!!!

Speaking of *Teaching*

Designing Courses

Every year, thousands of university professors, lecturers, and graduate students sit down at their desks and design courses. They start out excited, their desks are stacked high with all the material they want to cover, but there never seems to be enough time in the academic calendar to cover everything. So compromises are made: topics are cut, or several topics get crammed together in a single lecture, and in the planning crunch that inevitably occurs as the deadline for ordering materials approaches, assignment design gets pushed aside until a later date, usually well into the school term—about a week before the assignment is due.

Sound familiar? Interested in a different model for designing courses? The Center for Teaching and Learning offers quarterly workshops on designing courses for members of the Stanford teaching community, and CTL's three Associate Directors also offer individual consultation on course design (see CTL contact numbers on the back page to make an appointment).

At CTL, we have found helpful the concept of learning-centered course design, in which the teacher designing the course first identifies the learning goals of the course, and then "works backwards:" designing the course from the perspective of what we hope our stu-

dents will have learned from the course when it is over, and then figuring out how best to help them achieve these goals.

This model for designing courses is intended to make the process both more efficient for you and to help focus your attention on where you can make the biggest difference for your students. Here's how it works:

How will you most likely be able to make a difference for your students?

First Steps

Although "designing backward" is the heart of this process, we suggest that before you begin designing your course that you pay attention to some other initial considerations, like the nature of your students, your own strengths as a teacher, and the curricular framework the course may need to fit into.

Who are the students that will be taking this course? Will they be majors or non-majors? Will the course be required or elective for them? Will the students be freshmen and sophomores? Juniors and seniors? What prior learning will they have had? What are the best ways to find out? What assump-

tions about the subject might they need to unlearn? Why will the students be taking the class (as opposed to why you hope they are taking the class)?

Next, reflect on your strengths as a teacher: what do you do best? Giving lectures, leading discussions, designing writing assignments, designing exams? Another way to put it: how will you

most likely be able to make a difference for your students? Try making a list of your strengths as a teacher and how you hope to make a difference for your students. See if it will be possible or appropriate to play to your strengths (or

TA ORIENTATION

Fall Quarter 2004

**Friday, September 24
8:00 am to 12 noon**

In Building TCSEQ

**With additional
afternoon workshops!**

develop new strengths) for this course.

Finally, some broader preliminary questions: is the course part of a curricular sequence? If so, what issues should be taken into consideration? Is this an existing course? If so, what sort of feedback did you receive last time? What did student performance on exams and assignments indicate about how these assignments were helping the students to achieve your learning goals for them? Or is this a new course? If it is a true blank slate, you have an opportunity to design from scratch. If it is a new course, what is your vision for it? What do you hope that it will help your students to accomplish?

Reflecting on and ultimately answering these many questions will prepare you for the heart of the learning-centered course design process: identifying and clarifying your learning goals. At the end of your course, what should your students be able to do, know, or understand as a result of their work in your course?

Learning Goals

Taking some time to contemplate the knowledge, attitudes, and skills that you hope your students will have by the end of the course you are designing will

Try to limit yourself to a total of only three to five goals.

have an invaluable effect on your course design process. These goals provide the floor plan for every other choice you make, and your choices will be influenced far less by external limitations. Instead, whenever you make a design choice, the deciding factor will be how the consequences change or support the learning goals at the foundation of the

course.

Difficult though it may seem, try to limit yourself to a total of only three to five goals. The goals can be general or specific, but either way, they will eventually be broken down into sub-goals that will shape the design of the course and which will ultimately dictate the content, the assignment structure, and the day-to-day classroom format as well.

For instance, if one of your goals is for your students to be able to assess the value of secondary critical arguments, it might be worthwhile to consider what steps are involved in this process, and design a session or two, as well as an assignment, that will model this process for the students and give them a chance to practice and develop this skill. For every knowledge-based learning goal, there should be a skill-based goal: what do we want our students to be able to do with the knowledge they gain from our courses?

When we consider the learning goals of our courses, we can discover the often unarticulated subtext to our teaching: what matters most? Why do we hope that students will take our courses? What is the value of this subject for us, and how can we best convey this to our students? By taking a learning-centered approach to course design, as opposed to a coverage-driven approach, student engagement with the meaningful qualities of the course is far more likely to be achieved.

Content

Once you have outlined your learning goals for the course, the material you

decide to use to support your learning goals may be quite different from what you initially set out to teach. You may have discovered that some of the material you thought was appropriate for the course doesn't really offer you an opportunity to help students reach your goals for them, and similarly you may have realized that there are several other texts or case studies that would support your goals much more clearly and substantially.

Starting with the list of your learning goals, make a short list under each goal of the content materials that will contribute to your hopes for what students will be able to take away from your course. Make a note beside each content topic regarding your plan to use it to support the goal under which it is listed. (See figure 1.) This will help you remember your learning-centered strategy as you plan you syllabus and outline your lecture notes.

Figure 1
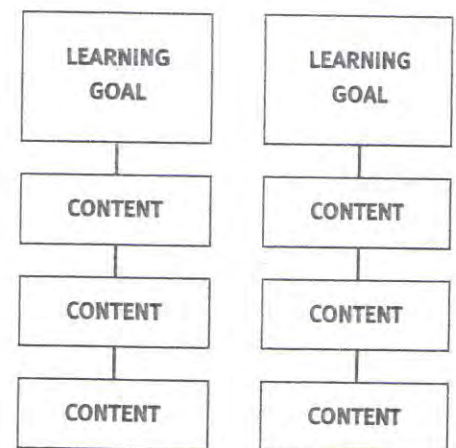
Assignment Design

Although we don't often think of it this way, assignments and exams are the way that we find out if our students have met our goals for them. We tend to think of assignments and exams as demonstrating the depth and extent of student knowledge, but they actually

reveal a great deal more.

Once again, start with a list of your learning goals and beneath each goal, list several different kinds of assignments or exam formats that would both offer your students a chance to demonstrate that they had achieved your goals for them (by using the skills you identified as vital to their learning process) and which would allow you to determine how well, in fact, the goals have been achieved.

Class Format

The same model applies for planning your class formats. A variety of different class formats is always welcomed by students, and if we can design those formats to be directly geared towards supporting our already established learning goals (instead of for the sake of simply providing variety), then the structure as well as the content of our courses will have a pedagogical coherence as well as a built-in success mechanism for achieving our learning goals.

Try planning your format strategies class by class: imagine that you have an hour and a half for an ideal class to approach a learning goal, a related skill, and a portion of content that you have just outlined. In this ideal hour and a half, what are three different formats (each one lasting anywhere from 20 minutes to a half hour) that you could incorporate into a single class session? (See figure 2.) If possible, try to imagine at least one of these formats (if not more) involving active learning (direct engagement, participation, or application of knowledge and skills) on the part of the students.

Figure 2

CLASS #1	FORMATS
Learning Goal: critical thinking	Lecture/Demonstration
Content: Chapter from text	Discussion and Questions
Skill: thesis development	Exercise: practice crafting sample thesis statements in response to sample essay prompts

Granted, while some graduate seminars run up to three hours, most class sessions are shorter than an hour and a half; but even in a fifty minute lecture session, several different formats can be employed to both support your learning goals and to keep students actively engaged.

For example, every fifteen to twenty minutes, take a two minute break and ask the students a direct question, give them a minute to think about it, and take several responses. Or ask students to take a minute to think of some questions, and respond to one or two of

students are "getting it" and coming close to achieving the learning goals of the course. This is called a classroom assessment technique, and many more creative options for such activities are offered in the book on this subject listed in the bibliography on the final page of this newsletter (*Classroom Assessment Techniques*, ed. Angelo and Cross, 1993).

The Calendar

Once all of the planning outlined above has been completed, you are finally ready to take out a calendar. But not just

A variety of different class formats is always welcomed by students.

them. Or ask students to work with a classmate sitting next to them and figure out the answer to a question or problem for a minute or two and then take several responses.

Whichever strategy you choose, it is important to tell students what you're doing and why, and to start using these active learning strategies on the very first day of class so that that they come to expect it. This way students will be ready to participate in this manner throughout the quarter.

These brief strategies not only keep students from becoming too passive, they serve as excellent "real time" opportunities for teachers to find out if their

any calendar: start with the university's academic calendar so that while planning you can take all the university holidays into consideration. More than one professor has been frustrated weeks into a course after realizing that a lecture had been planned for an unexpected university holiday, or that the term ended a few days earlier than expected.

Now that the calendar is out, creative thinking about your course can take a new turn. Using your original learning goals list, map out a logical progression of knowledge and skills building over the course of the academic term. As a clear pattern emerges and you add the course content and developmental

assignment structure onto the calendar, see if you can break down each week of the course into themes that will support your learning goals. This will help the students understand the trajectory of your course even better.

The Syllabus

The final documentation of all this planning is, of course, the syllabus. The syllabus is the place where you can outline your learning goals for the course as well as your philosophy of teaching, your thematic framework for the term, and your breakdown of readings and assignments.

Since the syllabus is also an active contract with the students containing our expectations for them as well as guidelines for succeeding in the course, be sure to include a section in your syllabus for course and university policies, such as a percentage breakdown of how graded assignments and class participation will be factored into a final grade, an attendance and absence policy, a late papers and revision policy, a scholar/athlete make-up class and work policy, a disability disclosure policy, and a reminder of the parameters of the honor code.

Getting Feedback

Aside from the in-class strategies discussed above, CTL strongly suggests that you build in a midterm evaluation process for feedback before the course is over. A midterm evaluation gives you the opportunity to make crucial and often easy changes to your course to ensure its success. While end-of-quarter evaluations are useful for the next time you teach a course, midterm evaluations benefit you and your students immediately.

There are many options for midterm evaluation. CTL offers a small group

evaluation (SGE) in which a CTL consultant will come to your class at the mid-point of the term and take the last twenty minutes of class to facilitate discussion about the course among your students in small groups. Their anonymous responses are then reported to you in a confidential meeting. Faculty, lecturers, and TAs can sign up (ideally, one week in advance) for an SGE on the CTL website: http://ctl.stanford.edu.

If you like, a CTL consultant can also come to your class and observe your teaching, and then consult with you confidentially afterwards. Alternatively, you can be videotaped while teaching, and a CTL consultant can watch the tape and consult with you about the tape at your convenience.

At the very least, plan to hand out an anonymous questionnaire to your students to receive their candid feedback

about the course at least once, if not more often. As with the other options described above, we recommend that these evaluation methods are most valuable when undertaken at the mid-term.

Contact CTL

If you would like to find out more about course design workshops, or would like to make an appointment to talk about course design with one of CTL's three Associate Directors, please contact the following people: if you teach in the Sciences or Engineering, call Robyn Wright Dunbar (723-3920); if you teach in the Humanities, call Valerie Ross (723-6487); and if you teach in the Social Sciences, call Marcelo Clerici-Arias (725-0127). ◆

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Designing Courses Backwards
A "Forward-Looking" Approach to Effective Teaching!

You've got your calendar in one hand and your content in the other... you are ready to design your course! "What will I cover?"

But wait...that is forward thinking... and the most successful courses are designed backward. "What should they learn?" Or even more boldly, what should they remember next quarter, or next year?

Step 1 Consider your own rationale for teaching this class. What is important to you about the material? About the way you plan to teach the material? About how the students interact with the content?

Step 2 Skip directly to the end of the course. Distill five (or fewer!) major learning outcomes. (If this number is too small for comfort, you can add more later if you really must... but stick with 5 or less now... this is the way to get to the underlying, often unifying, themes of your course.) Think broadly about these outcomes... content or foundational knowledge is but one broad category in which you might have specific goals. For other ideas, turn to the back of this page!

Step 3 Work Backwards. What skills will demonstrate achievement of the learning goals? What content is required to support those skills?
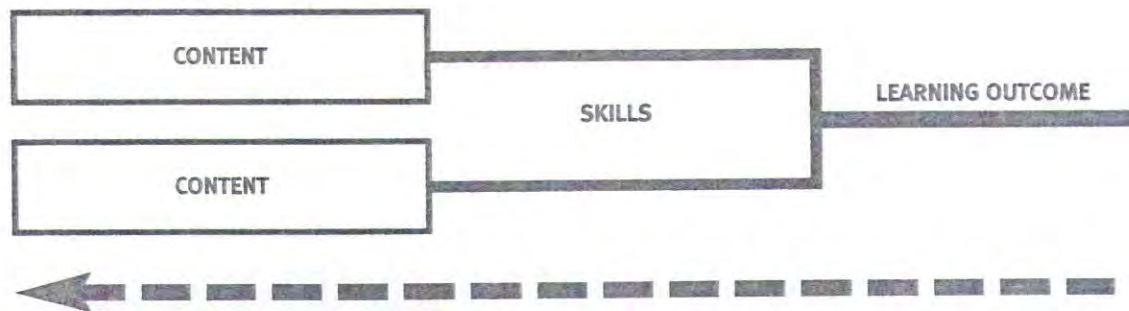
Why bother?

Some of the best payoffs include:

- The outcome goals will be threaded throughout the course. They provide unifying themes and context for the material you cover.

- These choices define the skills embedded in homework, projects, exams, etc. Students who have met the learning goals will be able to do what? Student work becomes more obviously relevant to the topic, exam questions or projects become more authentic.

- This process helps distill the huge content "problem." Cutting content is always painful, but we know we have to do it... working backwards establishes priorities.

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Planning Your Course: A Decision Guide

1. Where are you? Size up the situation.

A. Which students enroll in this course? (number, prior knowledge and experience, motivation, etc.)

B. What role does this course play in the overall educational experience of the students who take it? (GE, elective, required, majors-only, lower or upper division, prerequisite for other classes, etc.)

C. In what kind of curriculum is this course embedded? (How does it relate to other courses? What courses does it build on? What courses follow it?)

D. What external professional standards need to be met?

E. What kind of learning space will you have? (Classroom, lab, or other? Fixed desks? Movable chairs? Media equipment?)

2. Identify 3-5 general outcomes for the course.

A. What do you want students to be able to DO once the course is over?

B. What would students have to KNOW in order to do the items listed in question "2.A" above?

3. Assessment of Learning:

A. How would you know if the students achieved these outcomes? (How can you assess student learning/achievement?)

4. Determine how you will assess student learning and achievement.

A. FOR EACH OUTCOME specified above, what information can you gather that shows how well the outcome was achieved for each student individually? For the class as a whole?

B. For which outcomes are multiple-choice exams sufficient? Essay exams? Project assignments? Writing assignments? Other "products" or valid evidence of learning outcomes sought?

5. Determine the specific learning activities for the course. What are the students going to do?

A. FOR EACH OUTCOME listed in #2, what learning activities will generate the kind of learning you envision?

B. Is "hearing" sufficient? Or "reading"? Or "doing"? Or does the learning outcomes require some combination of activities?

6. Choose appropriate teaching strategies to achieve your outcomes:

A. How can you help your students achieve the outcomes you have set? (What general structure of learning activities will best assist the students in achieving the outcomes you have established?)

Example strategies:

A. Continuous series of lectures and reading assignments, periodically interrupted by 1 or 2 midterms.
<div align="center">("hear - read - test")</div>

B. Sequence of reading, reflective writing, and whole class discussion (sequence repeated for each topic).
<div align="center">("read - write - talk")
(A variation is "read - talk - write")</div>

C. Start with lab or field work observations, followed by readings, and whole class discussions.
<div align="center">("do/look - read - talk")
(Write-ups of lab/field work are sometimes included)</div>

D. Present lectures, followed by field work or lab observations.
<div align="center">("hear - see/do")</div>

E. Students do assigned readings, followed by mini-tests done individually and/or in small groups; then move on to group-based application projects.
<div align="center">("read-individual/group tests - DO")</div>

F. Work through a series of developmental stages: build knowledge and/or skills (3-5 weeks); work on small application projects (3-5 weeks); and then work on larger, more complex projects (3-5 weeks).
<div align="center">("know/know-how - do - DO")</div>

G. Contract for a grade: (for example; read text and pass exams = C, + do research paper = B, +extended project = A).

H. Other?

7. Develop a sequence of activities, a week-by-week schedule for the whole term. When are you going to do what?

A. What activities need to come first?
B. What activities do you want to conclude with?
C. What activities do you need in the middle?

8. Identify Resources: Who/What can help? What resources do you need (and can you get) to support each of the outcomes listed in #2? (people, places, and things, including media)

9. How are you going to grade? Develop your grading system.

A. Your system should reflect the full range of learning outcomes and activities. (Remember, NOT everything has to be graded.)

B. The relative weight of each item on the course grade should reflect the relative importance of that activity.

10. De-bugging the design: What could go wrong? Analyze and assess this "first draft" of the course.

A. What kinds of situations might arise as you implement this course? e.g., Will students be motivated to do the work? What if they're not?

B. Does the design encourage student involvement?

C. Will students get sufficient feedback on their performance?

D. How can you prevent (or at least minimize) problems?

E. Make the necessary modifications in the design.

11. Plan an evaluation of the course itself and your own teaching performance. How will you know how the course is going? How it went?

A. What kinds of mid-term and end-of-term feedback will you need?

B. What specific questions about the course do you have? How effective are the particular learning activities? To what degree are the outcomes for the course achieved? etc.

C. What sources of information can help you answer these questions? audio/videotape, student feedback and interviews, questionnaires, peer observers, quality circles?

12. Write the syllabus.

Syllabus Checklist

Consider the following items as a foundation for a syllabus that helps students understand a teacher's expectations as well as basic course information. Including each item may not be necessary. Use this checklist as a guide for what might be included in a course syllabus.

_____ A brief statement of overall course outcomes that introduces students to what they should know and be able to do by the end of a course. Consider the personal tone set here as an important aspect of this statement.

_____ A few words about course format, so that students know what to expect about how the teacher will be using class time.

_____ A brief statement of expectations in terms of student responsibilities, clearly stating what the teacher expects (such as participation and the level of work).

_____ A statement of what assessment techniques will be used to evaluate students, including information on grading policies.

_____ A schedule of class dates and topics, along with week-by-week reading assignments.

_____ Due dates for papers, exams, projects, and so on, including any policies about late assignments.

_____ Any pertinent information about course policies and procedures (such as class attendance, making up assignments).

_____ Statements on university-wide policies (such as statements on academic integrity, accommodations for students with disabilities, and diversity and inclusion).

"Nuts-and-bolts" information:

_____ Course title, course number, and prerequisites.

_____ Building and room number.

_____ Instructor's name, phone numbers, e-mail address, and office hours.

_____ Text(s) and supplemental readings; course web site.

_____ Suggested bibliography.

Syllabus Evaluation Rubric

Criterion	Beginning	Emerging	Exemplary
Course Description	Instructor name & contact info, class time and location	in addition: course prerequisites (if any) course description	in addition, how the course fits into the larger program/department curriculum, field, supplemental readings, and resources
Overall Tone	Mechanical, dictatorial	teacher-oriented	student/learning oriented (eg: first person)
Course Outcomes	not articulated	stated in general, but vague and unmeasurable terms	listed with appropriate, descriptive verbs that lend themselves to measurement and seek higher levels of learning
Course Format	vague, or criptic descriptions of course expectations and how class time will be used	mutual role expectations for students and instructor are explained, together with various teaching methods and modes	role expectations and class format are explained in such a way that students understand the underlying rationale and benefits for them
Instructor Beliefs & Assumptions	little or no accounting of the instructor's teaching philosophy, beliefs or assumptions about learning	section describing the instructor's beliefs or assumptions about teaching and learning that guide the course	well articulated and thought out rationale that includes the values and/or experiences that guide the instructor's teaching practice
Class Schedule	little or no information on what course topics will be covered each week	course topics broken down by class period	fully articulated and logically sequenced course schedule with chronological topics listed for each class, along with required readings and preparation necessary from students
Assignments Required	course assignments listed but with no due dates	course assignments listed with clear due dates	assignments listed with due dates, with explanation of late policy and other requirements that might affect grades
Academic Policies & Procedures	little or no information	description of academic integrity policy	information about all pertinent academic policies, including academic integrity, accommodating students with dissabilities, class attendance
Assessment of Students' Learning	little or no information about how the students will be graded; any information that is included reinforces a grade-focus	Each graded assignment is clearly described with its relative value towards the overall course grade	Each assignment includes descriptions of its rationale for inclusion in the course and what the student should get out of completing it; use of rubrics with quality criteria specified
Alignment	no clear connection between stated course goals/outcomes and assessment schema	the connections between some assignments and stated course goals/outcomes are apparent	all assignments are linked with a specific course goal/outcome and are likely to provide sufficient evidence to adequately assess each goal/outcome
Diversity of Teaching & Assessment Methods	course teaching and assessment methods are similar; eg: all lectures; all tests	Evidence the instructor has employed a diverse set of teaching and assessment methods	Diverse assessment methods and evidence that the instructor has taken into account the diversity of students in choosing teaching and assessment methods
Continuity of Feedback to Students on Their Learning	little or very infrequent venues for giving students feedback on their progress in the course	adequate opportunities for students to get feedback on their progress in the course	all course requirements have sufficient means by which the instructor can keep students adequately appraised of their relative progress in the course
Opportunities for Students to Provide Evaluative Course Input	students' only opportunity to provide input on their experiences in the course to the instructor is at the end of the course	Instructor has developed and scheduled a mid-semester course evaluation opprtunity for the students	Students are encouraged to provide the instructor with regular input on how they are experiencing the course throughout the semester

Revised Blooms Taxonomy – Verbs, Materials/situations that require this level of thinking, Potential activities and products

	REMEMBERING	UNDERSTANDING	APPLYING	ANALYSING	EVALUATING	CREATING
VERBS	Tell, List, Describe, Relate, Locate, Write, Find, State, Name, Identify, Label, Recall, Define, Recognise, Match, Reproduce, Memorise, Draw, Select, Write, Recite	Explain, Interpret, Outline, Discuss, Distinguish, Predict, Restate, Translate, Compare, Describe, Relate, Generalise, Summarise, Put into your own words, Paraphrase, Convert, Demonstrate, Visualise, Find out more information about	Solve, Show, Use, Illustrate, Construct, Complete, Examine, Classify, Choose, Interpret, Make, Put together, Change, Apply, Produce, Translate, Calculate, Manipulate, Modify, put into practice	Analyse, Distinguish, Examine, Compare, Contrast, Investigate, Categorise, Identify, Explain, Separate, Advertise, Take apart, Differentiate, Subdivide, deduce,	Judge, Select, Choose, Decide, Justify, Debate, Verify, Argue, Recommend, Assess, Discuss, Rate, Prioritise, Determine, Critique, Evaluate, Criticise, Weigh, Value, estimate, defend	Create, Invent, Compose, Predict Plan, Construct Design, Imagine Propose, Devise Formulate, Combine, Hypothesize, Originate, Add to, Forecast,
MATERAILS SITUATIONS	Events, people, newspapers, magazine articles, definitions, videos, dramas, textbooks, films, television programs, recordings, media presentations	Speech, stories, drama, cartoons, diagrams, graphs, summaries, outlines, analogies, posters, bulletin boards.	Diagrams, sculptures, illustrations, dramatisations, forecasts, problems, puzzles, organisations, classifications, rules, systems, routines.	Surveys, questionnaires, arguments, models, displays, demonstrations, diagrams, systems, conclusions, reports, graphed information	Recommendations, self-evaluations, group evaluations, debates, court trials, standards, editorials, values.	Experiments, games, songs, reports, poems, speculations, creations, art, inventions, drama, rules.
POTENTIAL ACTIVITIES & PRODUCTS	Make a list of the main events . Make a timeline of events. Make a facts chart. Write a list of any pieces of information you can remember. List all the …in the story. Make a chart showing… Make an acrostic. Recite a poem	Cut out or draw pictures to show a particular event. Illustrate what you think the main idea was. Make a cartoon strip showing the sequence of events. Retell the story in your own words. Paint a picture of some aspect you like. Write a summary report of an event. Prepare a flow chart to illustrate the sequence of events. Make a colouring book.	Construct a model to demonstrate how it will work. Make a diorama to illustrate an important event. Make a scrapbook about the areas of study. Make a papier-mache map to include relevant information about an event. Take a collection of photographs to demonstrate a particular point. Make up a puzzle game showing the ideas from an area of study. Make a clay model of an item in the area. Design a market strategy for your product. Dress a doll in costume. Paint a mural. Write a textbook outline.	Design a questionnaire to gather information. Write a commercial to sell a new product. Conduct an investigation to produce information to support a point of view. Construct a graph to illustrate selected information. Make a jigsaw puzzle. Make a family tree showing relationships. Put on a play about the study area. Write a biography of the study person. Prepare a report. Arrange a party and record as a procedure. Review a piece of art including form, colour and texture	Prepare a list of criteria to judge a ……..show? Remember to indicate priorities and ratings. Conduct a debate about a special issue. Make a booklet about 5 rules you see as important to convince others. Form a panel to discuss views. Write a letter to …. advising on changes needed at … Write a half yearly report. Present your point of view.	Invent a machine to do a specific task. Design a building to house your study. Create a new product, give it a name and then devise a marketing strategy. Write about your feeling sin relation to … Design a record, book or magazine cover. Sell an idea. Devise a way to … Compose a rhythm or put new words to an old song.

teachers.net/lessons/posts/355.html www.teachers.ash.org.au/researchskills/dalton.htm
www.lgc.peachnet.edu/academic/educatn/Blooms/critical_thinking.htm

Dalton.J & Smith.D (1986) Extending Children's Special abilities – Strategies for Primary Classrooms

CENTER FOR TEACHING EXCELLENCE

Outcome Review Checklist

☐ Is the learning outcome measurable?

☐ Does the learning outcome target a discrete aspect of expected performance?

☐ Is the learning outcome student-centered?

☐ Does the learning outcome utilize an effective, action verb that targets the desired level of performance?

☐ Do learning outcomes measure a range of educational outcomes?

☐ Does the learning outcome match instructional activities and assessments?

☐ Does the learning outcome specify appropriate conditions for performance?

☐ Is the learning outcome written in terms of observable, behavioral outcomes?

Does Your Curriculum Provide an Inclusive Environment?
Is It UID Friendly?
Complete this checklist to find out.

Universal Instructional Design (UID) ensures an inclusive environment for all students.

"The basic premise of Universal Instructional Design is that curriculum should include alternatives to make it accessible and applicable to students with different backgrounds, learning styles, abilities and disabilities." (Center for Applied Special Technology, n.d.)

By following the 7 principles* below, you can make your curricula accessible to all. *Adapted from Chickering & Gamson (1987) 7 Principles for Good Practice in Undergraduate Education

UID INCLUSION CHECKLIST	ACCOMPLISHED	
1. Creating a welcoming, respectful learning environment	Now	Future
Send welcome email to students prior to start of class		
Create introductory exercises that are personable, friendly and encourage humor		
Include a syllabus statement that fosters an inclusive learning environment. (Refer to attached examples.)		
Learn students' names		
Be open to meeting with students		
During the first week of class lay the foundation to establish learning communities		
Let students know from the outset that the environment is inclusive and that all "voices" are heard		
Encourage questions		
Compliment student participation		
Develop course objectives with student input		
Collect information on "Student Information Sheet" (attached)		
2. Addressing essential course components	Now	Future
Provide class sessions and assignments that meet intended learning outcomes		
Discuss with students the components of the course that build toward subsequent courses		
3. Communicating clear expectations & providing constructive feedback		
Post comprehensive user-friendly syllabus online prior to beginning of course		
Post online video of instructor explaining teaching style and philosophy		
Provide clear written and audio explanations of course assignments online		
Post grading rubrics of all assignments online at the beginning of class		
Start each day with an overview of the day's objectives		
Ask students to match course objectives with course content, lectures, and assignments		
Provide students with completed grading rubrics including written comments in a timely manner (i.e., preferably at least one week prior to due date of next assignment)		
Discuss in class general overall strengths and weaknesses of completed assignments		

UID INCLUSION CHECKLIST	ACCOMPLISHED	
3. Communicating clear expectations & providing constructive feedback	Now	Future
Ask students to complete peer evaluations for team members		
Encourage students to submit assignments at least one week prior to due date for teacher and peer review before resubmitting revised assignment		
Provide students with information regarding how to access support structures such as tutoring, writing center, and other out-of-class assistance		
Ask students to do a one-minute paper at the end of class to outline what they learned, indicate when they were the most/least engaged, and provide comments about the day's class		
Request feedback from students on the course/instruction throughout the semester rather than only at the end of the semester		
4. Providing natural supports (including technology) for learning to enhance opportunities for all learners	Now	Future
Post all reading materials (except text books) and website links online		
Post some student assignments (e.g., book reviews, movie reviews, etc.) on course site so that other students may review		
Provide all handouts and evaluations in 12-14 pt. san serif font		
Provide all PowerPoint slides & handouts in UID format (i.e., few words per slide, san serif font, large bold print) with no more than two slides per page for handouts		
Be available to students via email, phone, online course site, and in person for assistance		
Consider the cost of textbooks; if possible, use original sources that can be bought at second-hand book stores, create your own packet of readings, or mention if books are available in library		
Establish learning communities in the course to provide students with classmate resources		
Ensure that all field trips, labs, and educational opportunities outside of the classroom are accessible to all students		
Allow for ample time for exams and assignments		
5. Using teaching methods that consider diverse learning styles, abilities, ways of knowing, and previous experience and background knowledge	Now	Future
Utilize a constructivist approach to teaching by providing information and having students construct meaning from new information based on prior knowledge and experiences		
Utilize multi-modal teaching techniques including, lecture, large group discussion, small group discussion, pair and share, role playing, case studies, games, exercises, guest speakers, panels, movies, videos, podcasts, vodcasts		
Use open captioned videos, DVDs, and video streams		
Consider the learning styles of your current students and use appropriate teaching strategies		
6. Offering multiple ways for students to demonstrate their knowledge	Now	Future
Offer students the option of papers, presentations, PowerPoint's, online presentations, team assignments, poster sessions, role playing, websites, games, exercises, case studies, online discussions, individual and group projects		
7. Promoting interaction among students and between you and the students	Now	Future
Be available and encourage conversation and assistance via email, phone, discussion board, chatrooms, and in person		
Encourage students to develop peer learning communities		

List other ways you might ensure inclusion . . .

http://www.cehd.umn.edu/passit/docs/
guidebook%201.pdf

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References

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Walvoord, BE. (2010). Assessment clear and simple: A practical guide for institutions, departments and general educations. San Francisco: Jossey-Bass.

O'Brien, JG, Millis BJ &Cohen MW. (2008). The course syllabus: A learning-centered approach. San Francisco, CA: Jossey-Bass.

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How to Prepare Online Lecturing

>>> using **Panopto**

**McCormick Educational Technology Center
Library of Rush University Medical Center**

What is Panopto?

All-in-one interface to record PPT/screen, audio, and video, and publish to a streaming video presentation.

It is a **lecture capturing program.**

➤Very easy to use.
➤Can be used in your office or at home.
➤Easy to share with your audience.

Creating a presence – being there

Asynchronous

➢ Personalize your teaching

➢ Express your personality

➢ Set an upbeat tempo

➢ Create interaction

➢ Guide students' attention

➢ Create options for various learning styles and levels

Before we start…

Prepare for your recording:

➢ How am I going to share the recording with my target audience?

➢ How many and what capture sources (PPT, audio, video, document camera, etc) will be needed?

➢ Keep the presentation size manageable.

➢ Check PPT slide titles.

➢ Consider creating a "Script" (what will you say) for each slide .

1 Recording

2 Uploading

3 Viewing and Sharing

Creating a **Panopto Video** Presentation

Panopto Recorder Interface

After the uploading…

Options for sharing the video presentation online:

> ➢ Create a link to your online lecture from anywhere on your course web site.
> ➢ In your Blackboard course section, link it inside a learning module/week folder.
> ➢ Attach the lecture link and send it to students through email.

How does Panopto help a fully online course?

Panopto allows students to review course materials from the instructor's perspective in a format similar to a f2f lecture environment. You can:

- ➢ Present a video presentation.
- ➢ Provide voice-over explanations.
- ➢ Express your personality.
- ➢ Create options for various learning styles by adding various extras to help student learning (i.e. the Play Speed control).
- ➢ Align presentations with other learning activities to support the predefined leaning objectives.

How could Panopto help a f2f or hybrid class?

Increasing students' time on task:

➢ Create a supplementary course site—make course materials available online after class for review.
➢ Create challenging and engaging online learning activities that complement your f2f activities.
➢ Your students can even use Panopto for individual project submissions.

The quality of the instruction is not a function of the delivery medium.

Need instructional design assistance?
Visit with an Instructional Designer at METC.

Lecture Capturing/Lecture Recording

➢ Best for recording and editing, and video content management (archive, reuse, usage track...)

➢ Usually need to have client version of software to be installed to record

➢ The recording itself may not need internet connection

➢ Video players or stand-alone software programs may be needed to view recordings.

Web Conferencing/Webcasting

- ➢ Best for live broadcasting, sharing presentation, websites, documents or other content or application
- ➢ Online interactive tools (Whiteboard, moderated text questions, polling…)
- ➢ Usually a web application which doesn't require installation
- ➢ Needs internet connection for broadcasting

Questions and comments…

McCormick Educational Technology Center

RUSH UNIVERSITY | **RU**Learning

Panopto for Lecture Capture in RULearning (Blackboard 9.1)

Last Revised 12/10/2012

RUSH UNIVERSITY
MEDICAL CENTER

TABLE OF CONTENTS

Page

Provisioning a Course from Blackboard to Panopto

Provisioning a course from Blackboard to Panopto will generate a copy of the course, using the same course ID and course name of the Blackboard course into Panopto. The Instructor of the Blackboard course will become the Creator of the Panopto Folder. Likewise, the Students in the Blackboard course will become Viewers in the Panopto Folder. Instructors and Students can then login to view their Panopto recordings with their Blackboard login.

♦ Provisioning Directly from a Course

To provision directly from a course, first login as an instructor for the course you'd like to provision.

Navigate to the desired course.

On the course menu, click **Add Menu Item** icon ✚ and choose **Create Tool Link**.
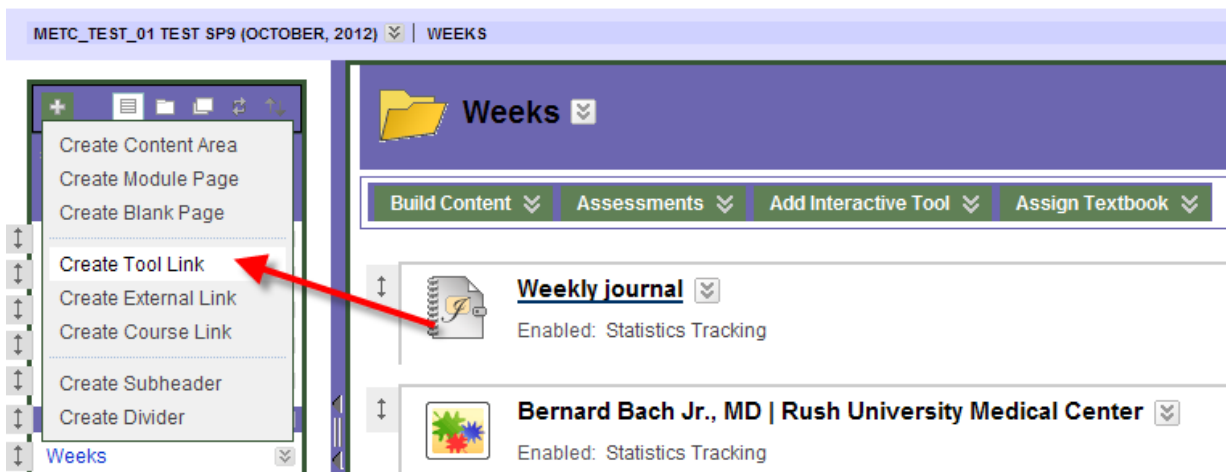
Give a name to the new Tool Link, for example, here **Panopto Videos**. From the drop-down menu for tool type, choose *Panopto Course Tool Application*.
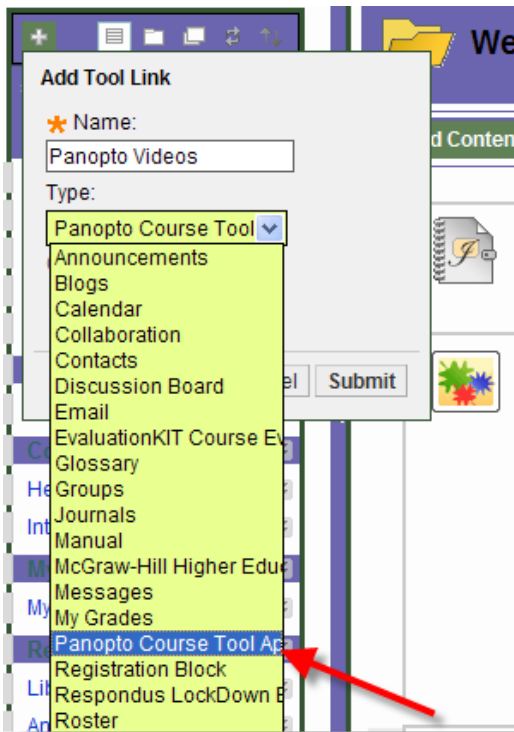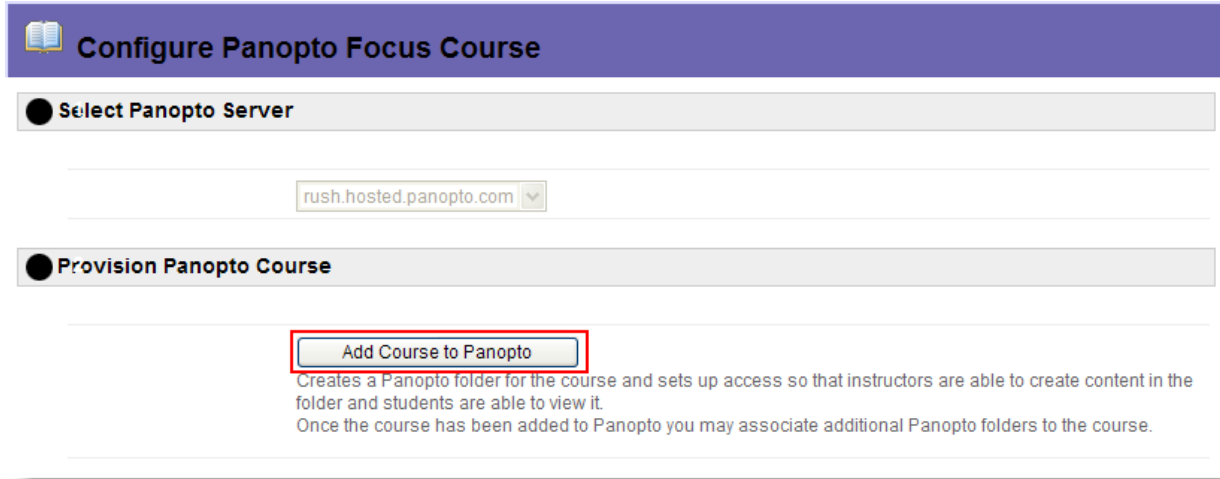
Then you will see a new Tool Link named **Panopto Videos** is added at the bottom of the course menu.

Click the **Panopto Videos** link on the course menu. You will be taken to the *Panopto Focus Content* screen.

Click the *Configure* button.
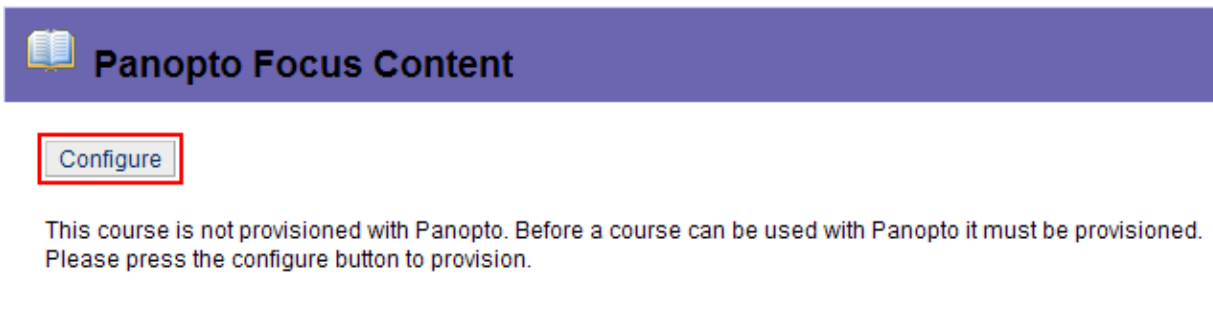
To provision the course, click **Add Course to Panopto**.

You will see a message telling you that the course has been successfully provisioned.
Click **OK** to finish.

Recording a Session with Panopto Recorder to Blackboard Course

Panopto can capture video, audio, screen captures, and PowerPoint presentations simultaneously. The subsequent recording can then automatically be published and made available through your Blackboard course site.

The Panopto Recorder needs to be downloaded and installed on the computer before you can record. To install the Panopto Recorder on your Rush workstation, please call the Help desk (312-942-HELP). To install the Panopto Recorder on any of your personal computers, please log into any of your provisioned Blackboard courses and the downloading link will be found from the *Panopto Focus Content* screen you made available from the **Course Menu**.
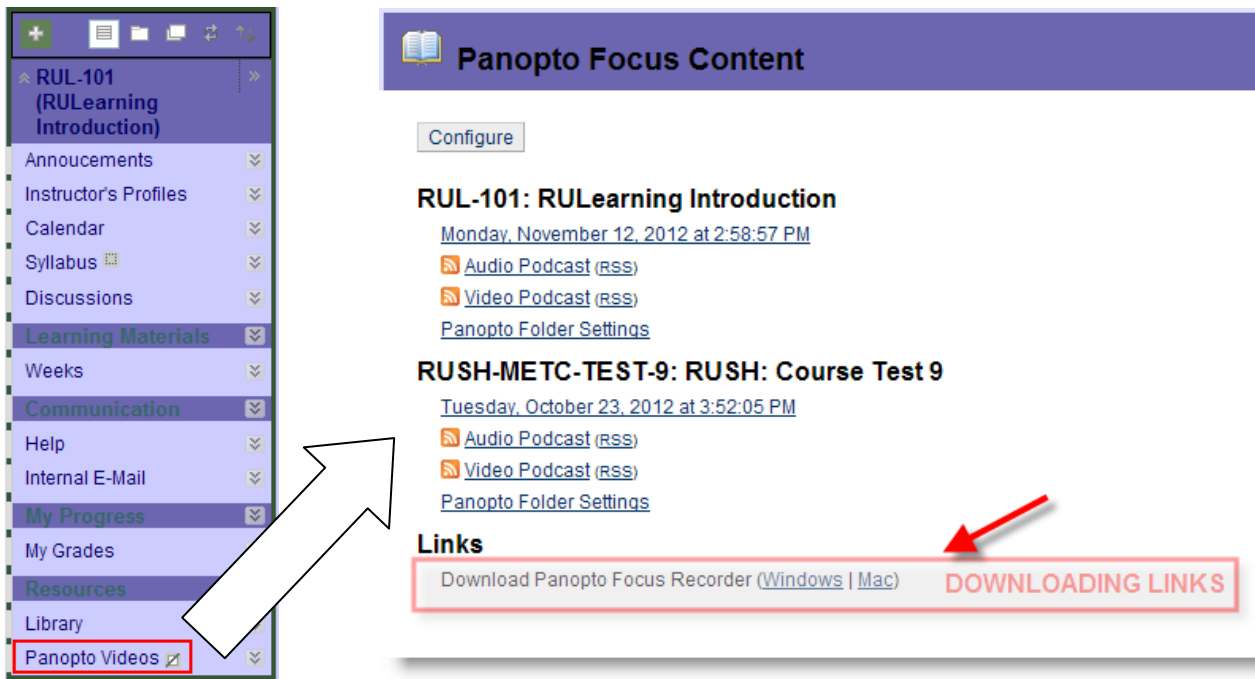
♦ Logging into a Panopto Account

Once the Panopto Recorder has been successfully installed on your computer, you will be able to locate a shortcut for the recorder on your desktop.

Click the shortcut icon and launch the recorder. On the logging page, please type **rush.hosted.panopto.com** into the *Server Address* box. Hit *Enter* and then the *Log in with PanoptoRUL* option shows up. Choose *Log in with PanoptoRUL*. And click *Log in*.

NOTE: the Server Address (rush.hosted.panopto.com) will also be needed if you don't have a Blackboard account. You will be able to use Panopto without a Blackboard account; however, your Panopto account needs to be created before you can use the application. Contact METC for more information or assistance.

The Blackboard logging page will be called out. Provide your Blackboard logging username and password and click *Login*.
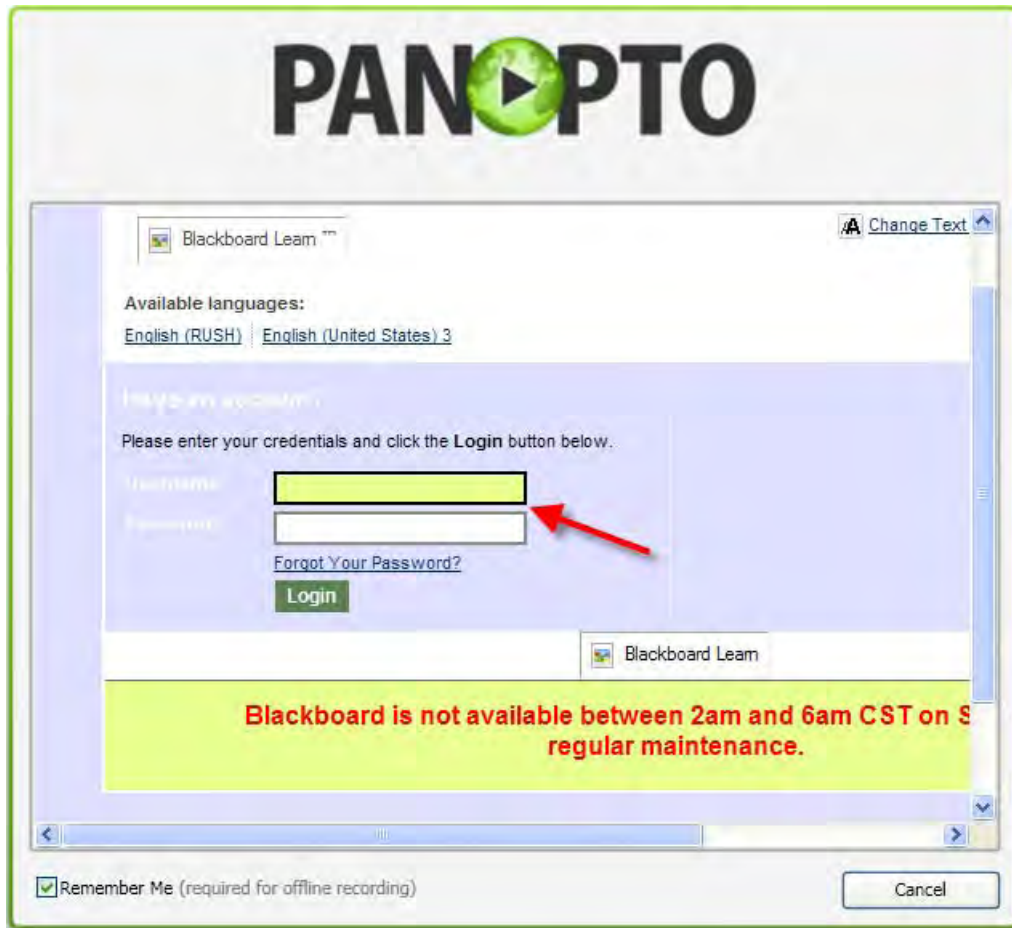
♦ Panopto Recorder Interface Setting Up

Once logged in, you will see the following interface. Shown are the five steps to setup your recording.

Step 1: Choose Blackboard Course

Once you provision the Blackboard course, the course folder (named by the course ID and course name) will be available for you to choose to add a new recording session to. Click the drop-down icon [▼] to see the course list. For example, a new recording session needs to be recorded for the course—**RUL-101: RULearning Introduction**. From the drop-down course list, click *Add New Session* button next to **RUL-101: RULearning Introduction**.

Then you will notice that the *Folder Name* is changed accordingly to **RUL-101: RULearning Introduction**.
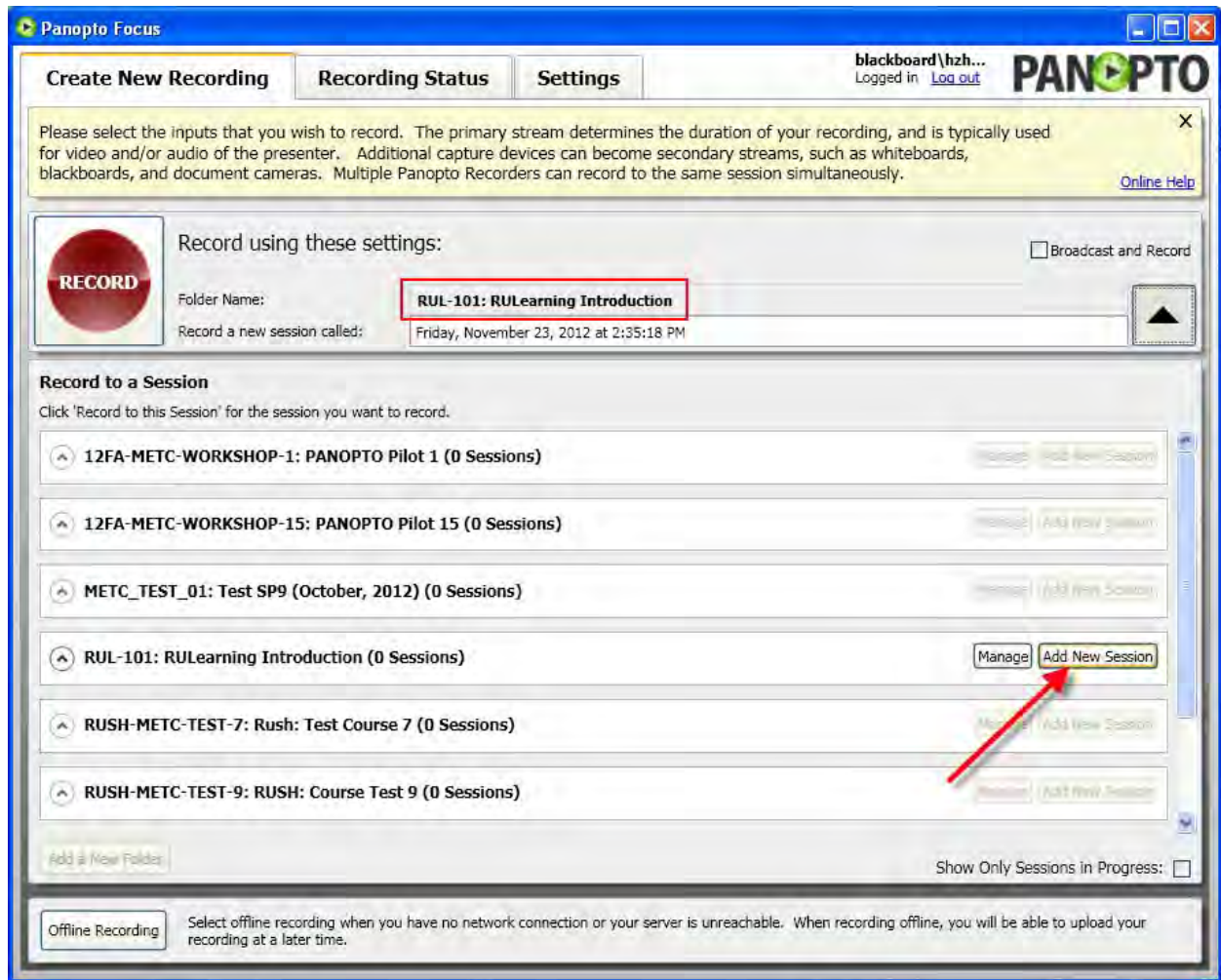
Step 2: Name the Session

By default, your recording will be named by the time and date of the recording. You can rename the session whatever you want it to be. In the provided area, enter the name of the session you are recording. In this example I name it **RULearning/Blackboard interface**.
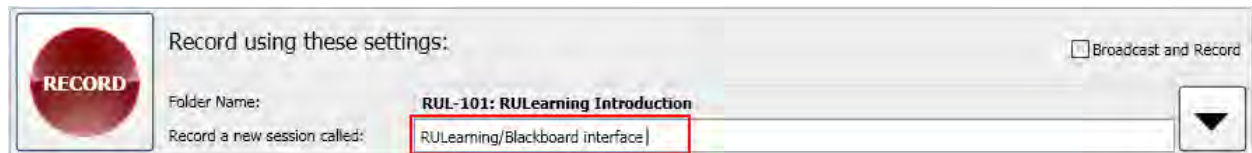
Step 3: Select Primary Video and Audio Camera and/or mic

If you are using a USB device, for example, a web camera with embedded microphone, make sure it is plugged in and select your primary source. This will be your video and narration input for the presentation. Your devices will show up in the drop down menu. While a video source is not required, you must select an audio source.
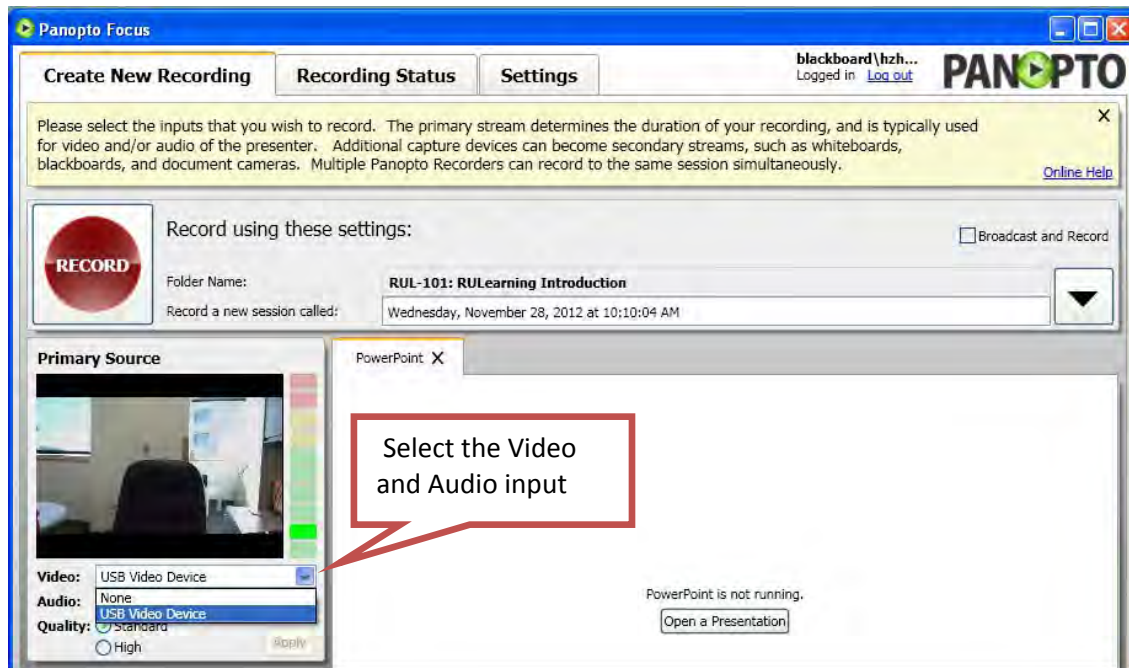
If you have correctly selected the video and audio sources, you should now see your video and be able to see a level for your audio. You may need to adjust the input volume for the mic from your computer audio settings.

NOTE: Make sure you select the device you are going to use for the **Primary Source**. The input for the **Primary Source** can not be changed once the recording starts.
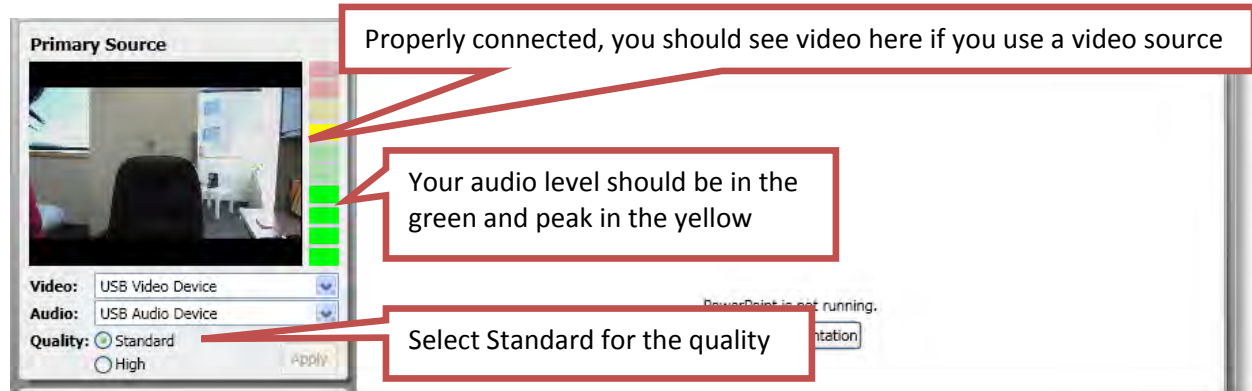
In this same area, set the session quality. For general presentations, use the **Standard** setting.

Step 4 & 5: Choose and Preview Secondary Capture Sources

The **Secondary Capture Sources** are screen capture (you can even capture both of the dual monitors on your computer if available), presentation capture, or input from other source like a document camera, a second camera, etc. You can select more than one source to be captured and each will show up in a separate tab that viewers can select during playback. If you select the **Primary Screen** tab you can preview the desktop and any programs you have running (the Panopto Recorder will normally be showing repeatedly -don't let that confuse you.)

NOTE: The ***Secondary Capture Sources*** can be turned on and off at any time during the recording.

Each Source shows up as a separate tab and you can capture several sources at once
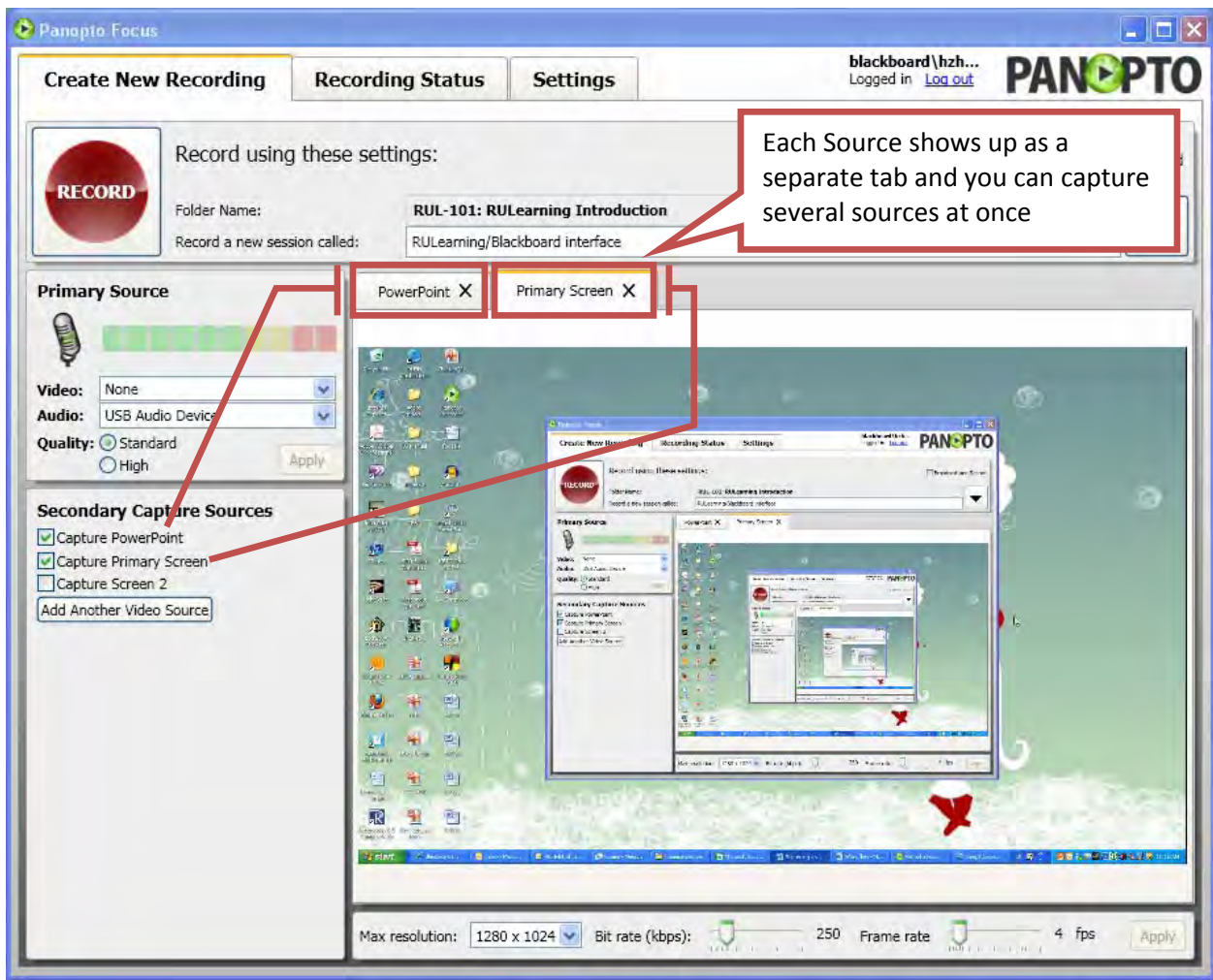
To capture a PowerPoint presentation, check the checkbox in front of **Capture PowerPoint**. And then stay in the **PowerPoint** tab. You will see a button that allows you to click and select the presentation you would like to use.
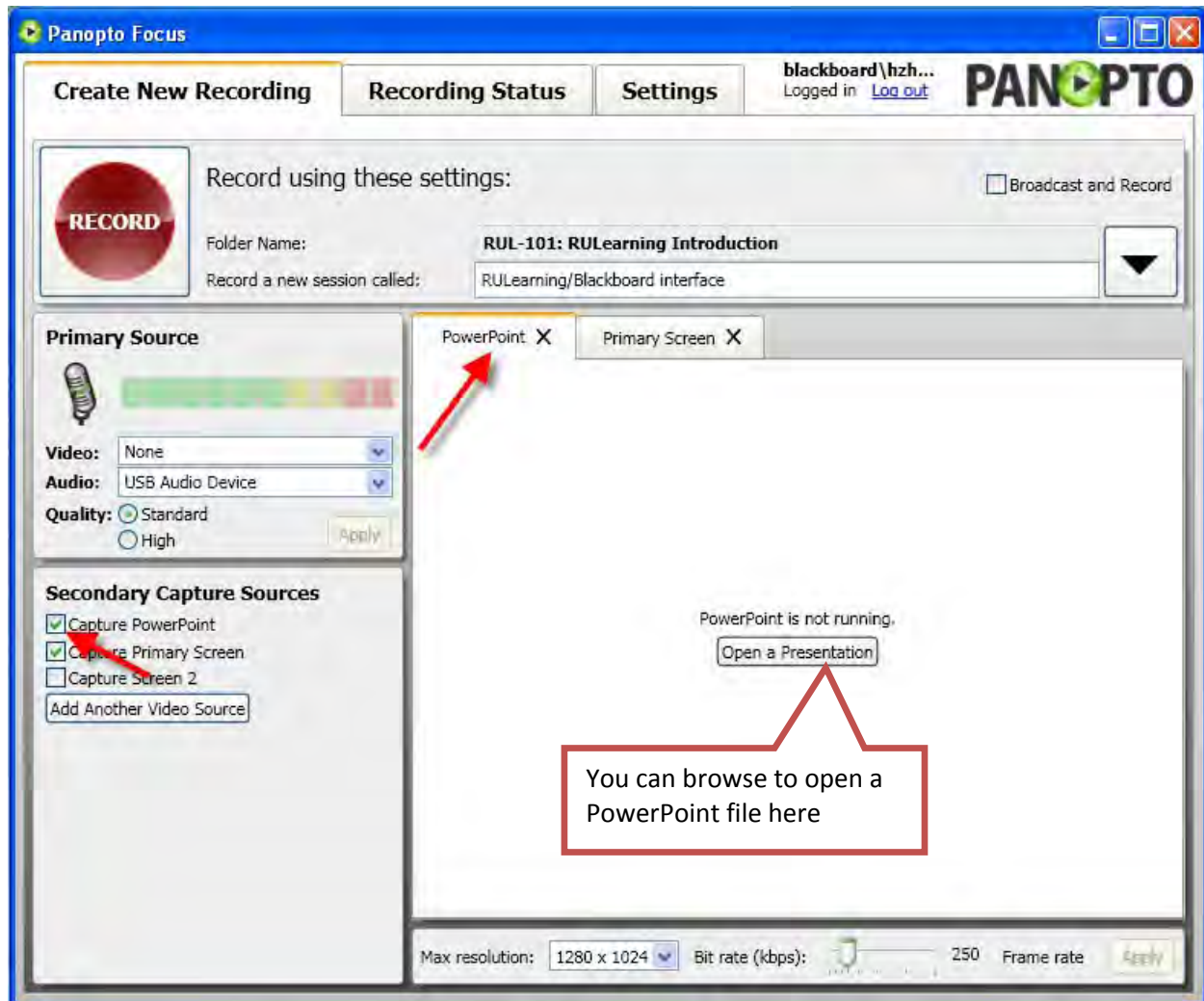
Once you click **Open a Presentation** and select your PowerPoint presentation file, you will be able to choose to start recording immediately.
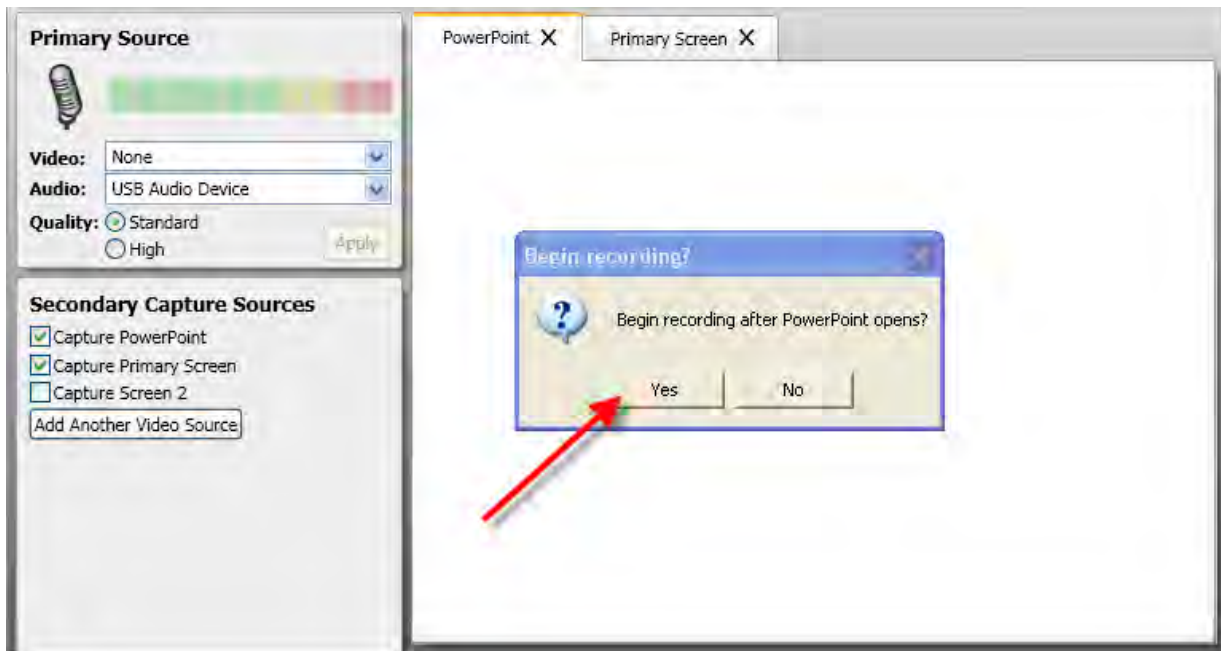
NOTE: Once you click **Yes**, the PowerPoint will start full-screen automatically and the recording has been started simultaneously.

You can also have the PowerPoint file already open and minimized to the toolbar before you start the Panopto Recorder. Panopto will automatically detect and indicate that there are PowerPoint files which are already open, and you can start the presentation after you hit the **RECORD** button.

♦ **Panopto Recording**

Now, you can start recording your presentation. To start, simply click the large red

RECORD button.

The Panopto Recorder starts and you can minimize the recorder during the presentation. If at any point during the presentation you would like to pause, you can lick the green **PAUSE** button, then resume when needed. To stop, simply hit the large gray **STOP** button.
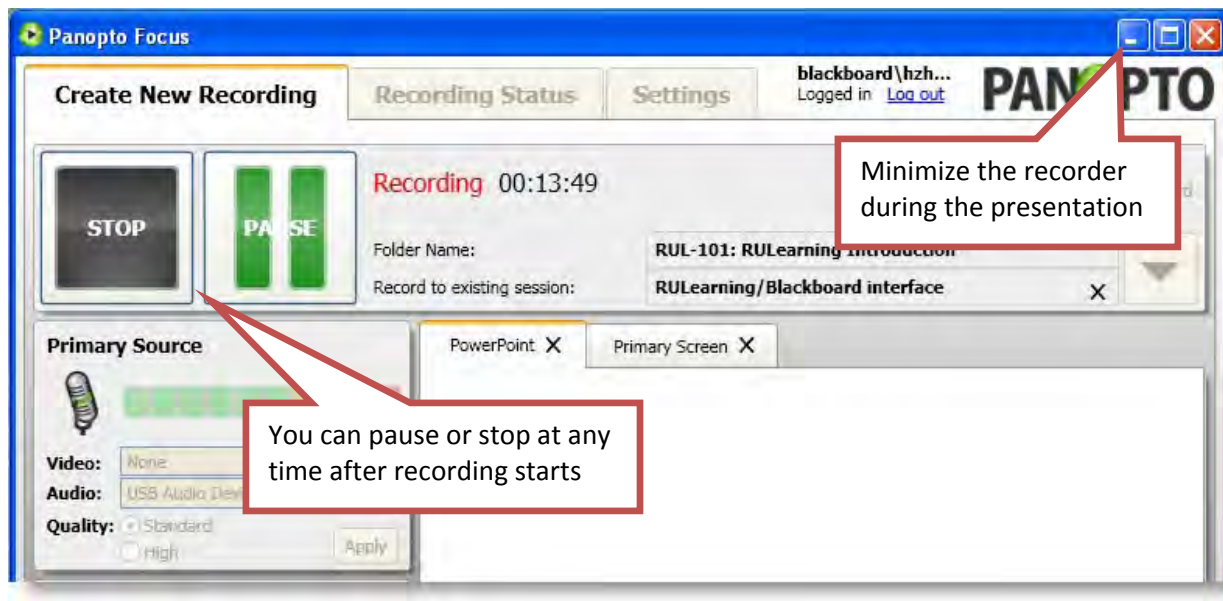
After you stop your recording you will be taken to the Recording Status tab for upload.

Recording Hotkeys

You can use a few keys to toggle the start, pause, and stop functions on the Panopto Recorder even if it is minimized or not the currently active window.

	Windows	**Mac**
START recording	F8	Command + option + R
PAUSE recording	F9	Command + option + P
STOP recording	F10	Command + option + S

♦ Uploading Sessions

When hit **STOP** on the recording you will be automatically taken to the **Recording Status** tab. The uploading of your latest session will be automatically started. It will be at the top of the **Currently Uploading Recordings**. You will be able to see the information of the session, such as the duration, session name and which folder the session is in.

NOTE: You can choose to **Pause** or **Cancel** the uploading at any time in the uploading process. Then, your recording will be listed under **Offline Recordings**, which means the session has not yet been uploaded and is only stored on the local computer. You can choose to re-upload later or delete if you are not happy with the recording.

The **Upload Progress** bar is going to tell you when the uploading completes. Once the uploading is done, you will see previously uploaded sessions in the **Uploaded Recordings** section.

You will see the status of the encoding on the server. Panopto automatically sends email with a link to the session when it is done being processed and is ready for use.

NOTE: If you are using a public computer, you may want to delete them from this computer by clicking **Delete Local** button next to the session information. This does not delete them from the server, just the original recorded file on the local computer you are using.

EXTRA NOTE: If you are using a public computer, please log out of Panopto Recorder when you finish recording. Or, other presenters may start recording to your courses.

♦ Viewing and Sharing Sessions with Other Users

For all uploaded recordings that are completed, you will be able to view, edit, and set the sharing for your sessions by clicking on the appropriate links.
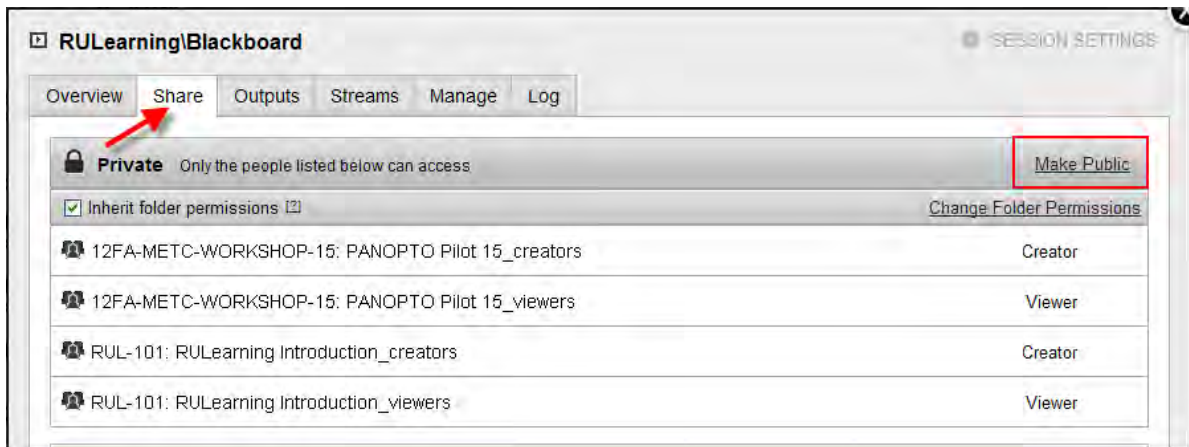
If you would like to preview the session, clicking the *View* link will open the session in the viewer.

If you would like to share the presentation with others, click the *Share* link. You will be taken to your folders area on Panopto online and you can see the details of the session.

On the *Session Settings* screen, you can click *Make Public* under the *Share* tab to make the session open to public. Then, go to the *Overview* tab, you will be able to find the link which you can copy and paste in email to share with anyone.

Sharing Panopto Recordings through Blackboard

For all uploaded recordings that are completed, you will be able to share them with your students through Blackboard.

If the recording has been added to the Blackboard course folder (folder's name should be the course ID and the course Name, for example, in the previous example, **RUL-101: RULearning Introduction**), you will be able to see the recordings in the *Panopto Focus Content* folder from the Blackboard course. And all users into the course have already been granted permission to view the recordings. You can easily create a link to the recording into your **Weeks** folder or any other places you want it to be.

The new recordings will be found from the Panopto Focus Content screen in the Blackboard course

♦ Linking the Recording into Blackboard Weeks

Let's keep using the previous example. For example, I would like to link the new recording *RULearning\Blackboard Interface* session into the course **Weeks** folder.

To do that, go into the **Weeks** folder and open the week folder you would like to link the Panopto recording to, for example, **Week01**.

In **Week01** folder, click **Tool** button across the top of the screen and then choose **Panopto Video Link** from the drop down menu.
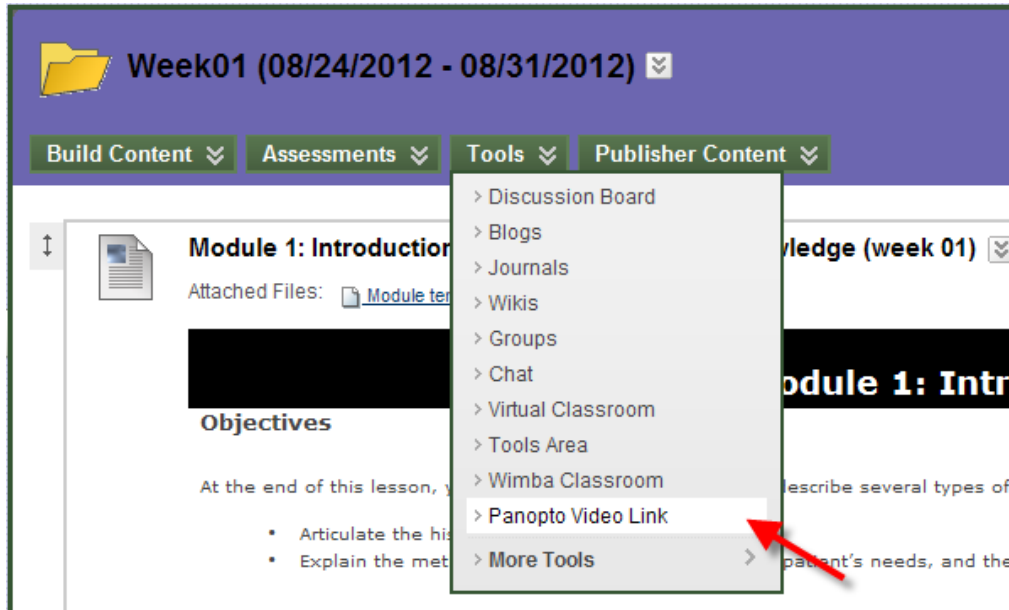
You will be taken to the **Insert Panopto Video** screen. Here you will be able to choose the course folder, in this example, it is the course folder **RUL-101: RULearning Introduction**, and then select the recording you would like to insert from the inventory which shows all available recordings in this folder. You can also rename the recording and add description here.
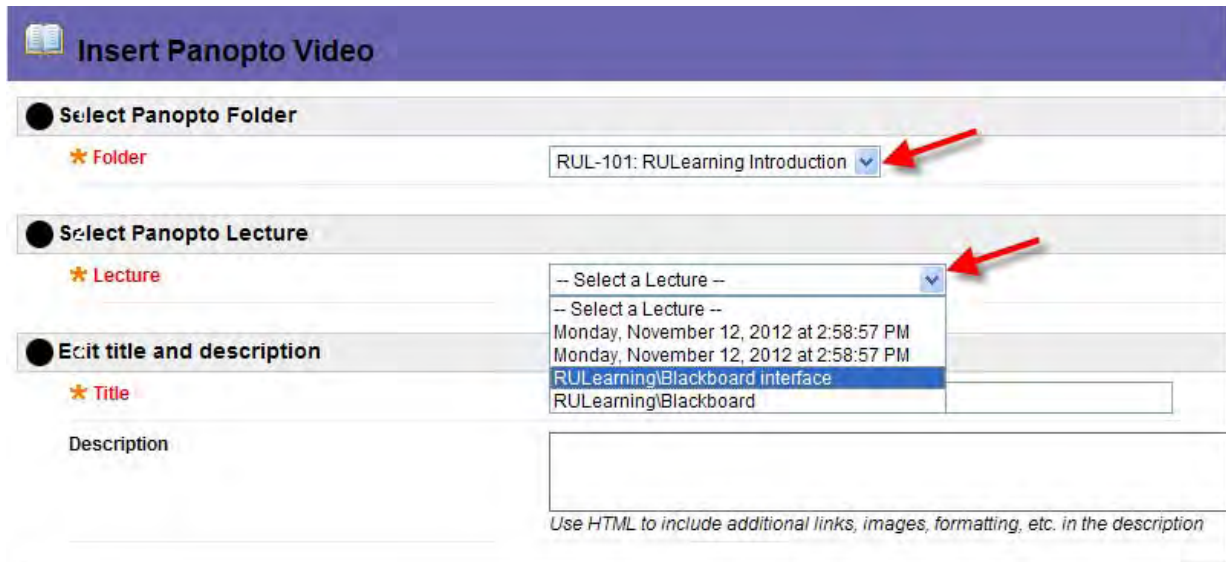
Once done, click **Submit**.

You will have a link of the selected recording into the **Week01** folder.
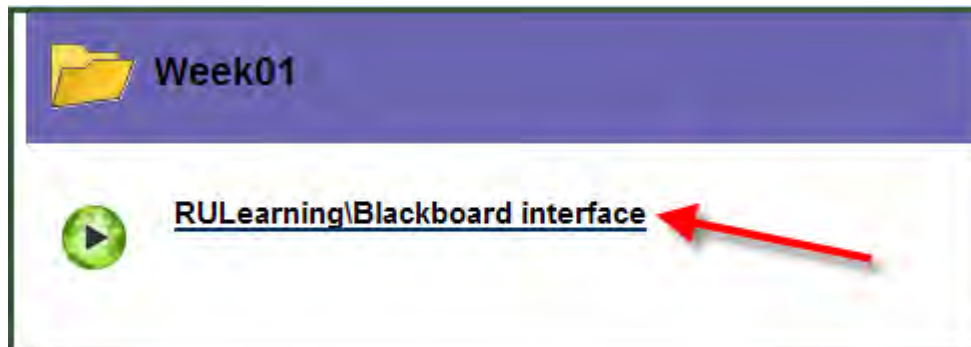
♦ **Sharing Panopto Recordings in One Blackboard Course with Another**

If you want to share Panopto recordings you already created in one Blackboard course with students in another Blackboard course, you can easily add one Panopto course folder into another and then link any or all of the recordings into the new course. For example, let's say I want to make the recordings I have already created into Blackboard course—**12FA-METC-WORKSHOP-1** available to my **RUL-101: RULearning Introduction** class. Here are the steps how to do it.

Stay into the Blackboard course you want to make existing recordings available to, in the example, it is course **RUL-101: RULearning Introduction.**

Find the *Panopto Focus Content* tool and click the link. You will see only the original Panopto folder for this course--the **RUL-101: RULearning Introduction** folder.

Click *Configure*.
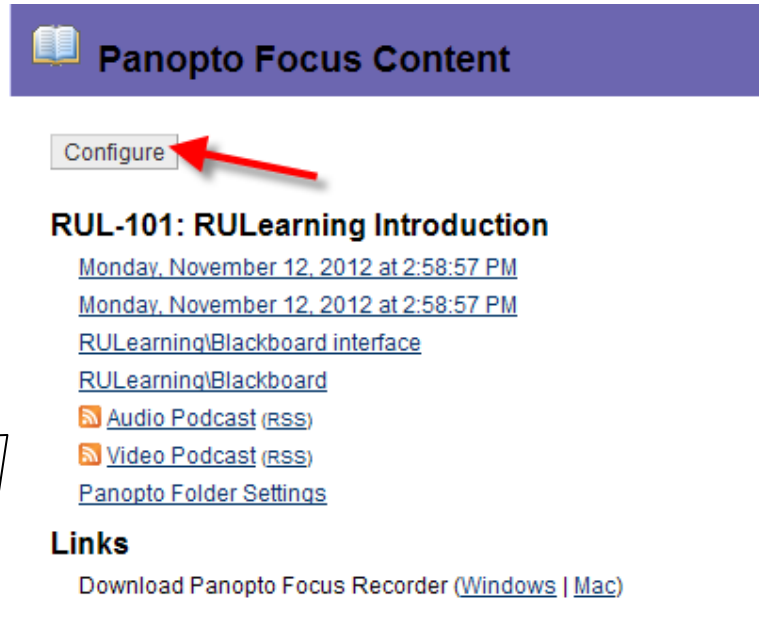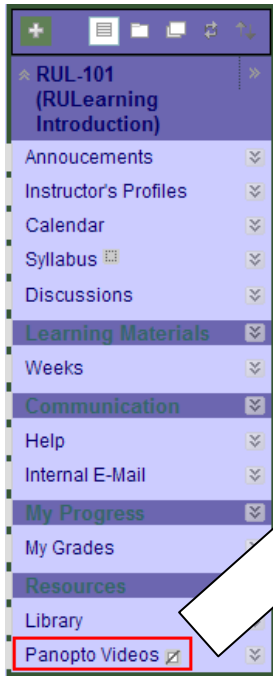
On the ***Configure Panopto Focus Course*** screen, you will see a list of course folders that you have explicit creator rights to in Panopto on the left hand side—in the ***Available Folders*** box. The original course folder is currently, by default, displayed on the right—in the ***Selected Folders*** box. Highlight the **12FA-METC-WORKSHOP-1** folder and click ***Add***.
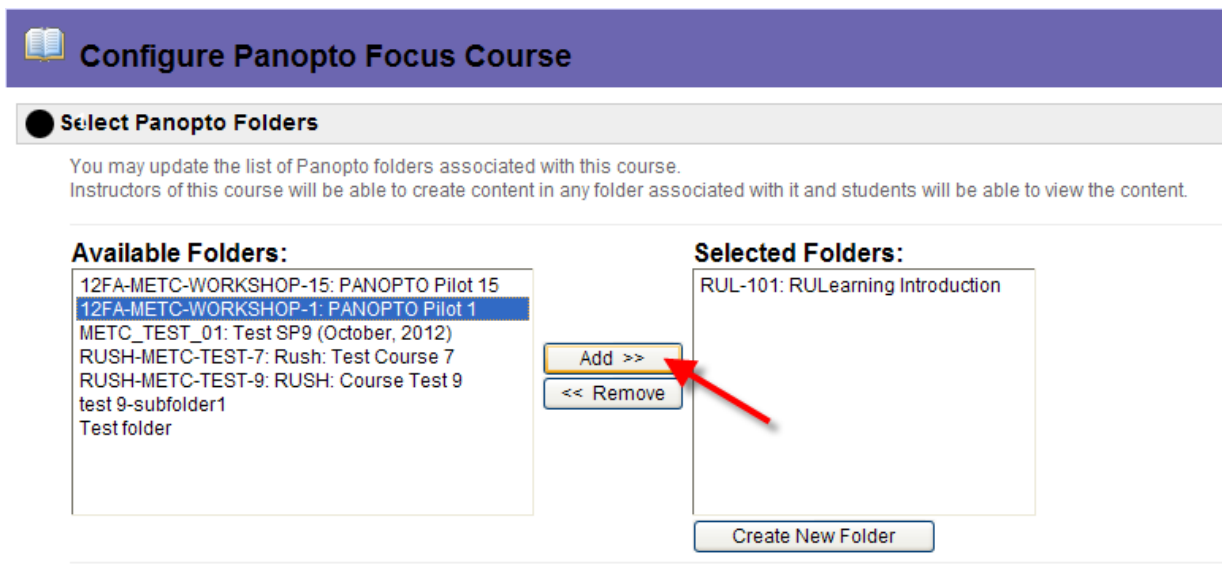
The **12FA-METC-WORKSHOP-1** course folder will be moved to the ***Selected Folders*** box.

NOTE: You can also easily highlight and remove folders from the ***Selected Folders*** list by clicking the ***Remove*** button to make folders unavailable to users in the Blackboard course.
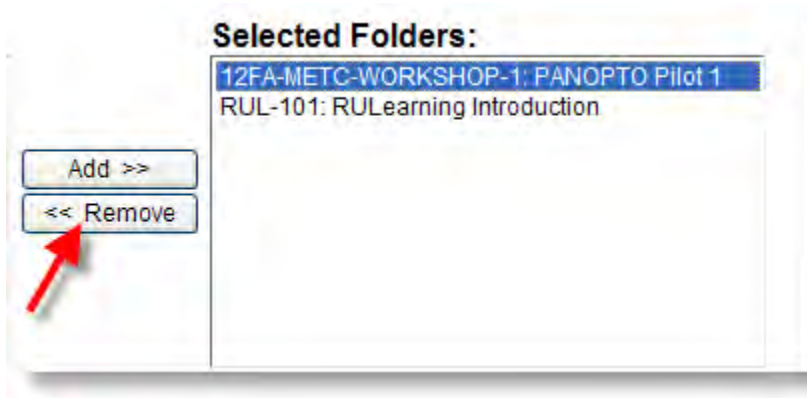
Click ***Submit***. Then when you are taken back to the ***Panopto Focus Content*** screen, you will see the new course folder **12FA-METC-WORKSHOP-1** is added.

Now, if you go through the process to create a link for a Panopto recording into the **Weeks** folder, you will be able to select the new course folder--**12FA-METC-WORKSHOP-1** from the *Select Panopto Folder* list. And then select any of the recordings in the folder to create a link for in the new course.
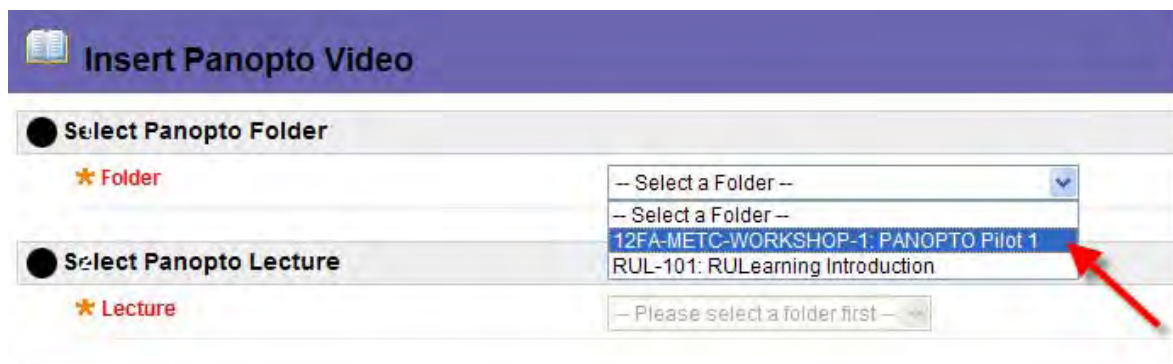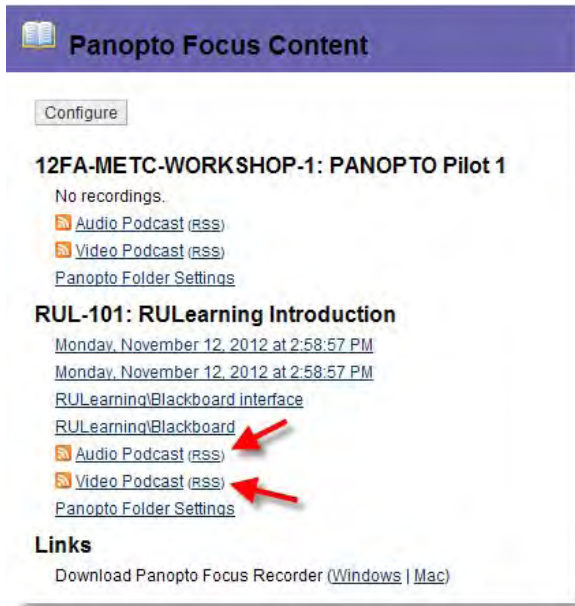
♦ **Podcasting and RSS Feeds**

Panopto makes MP3 and MP4 versions of every recording available through podcasts and RSS feeds. By subscribing to the feed, the podcast from each new recording in a course folder will automatically be downloaded. The downloaded content can then be listened to or viewed any device capable of playing back MP3/MP4 files.

To subscribe to the feed from the link into Blackboard course, go to the *Panopto Focus Content* screen in the Blackboard course. Select the folder that you would like to download podcasts from. Let's say, **RUL-101: RULearning Introduction** course folder. And click the *RSS* link next to the

podcast option you want. You can choose subscribing to the *Audio Podcast* or the *Video Podcast*.
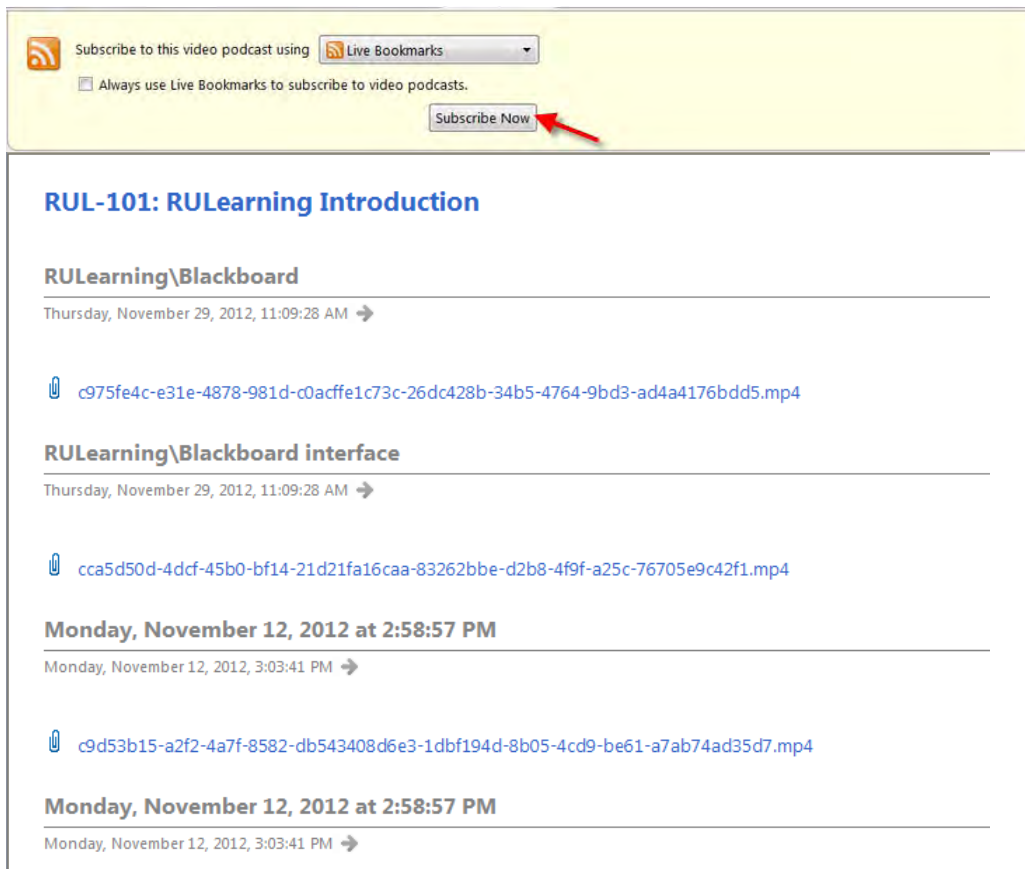
 NOTE: is the **Subscribe** icon.

Click **Subscribe Now**. It allows you to subscribe to the RSS feed or download the podcast directly.