

MICHIGAN STATE UNIVERSITY
Office of the Provost

RECOMMENDATION FOR REAPPOINTMENT, PROMOTION, OR TENURE ACTION (Form D)

Name: Cook Lisa Denell
Last First Middle

Date: 3/4/13

Present Rank: Assistant Professor Appointment Basis: AY or AN

Primary Department Name: Economics Second Department Name: Other Dept. Name:

Primary College Name: James Madison College Second College Name: Social Science Other College Name:

U.S. Citizen or Permanent Resident? YES NO (if NO, tenure cannot be awarded unless a Tenure Policy Exemption Agreement has been approved.)

Years of full-time MSU faculty service as of next August 16 as:

INSTRUCTOR ___ ASSISTANT PROFESSOR 6 ASSOCIATE PROFESSOR ___

Years of full-time faculty experience as of next August 16 (MSU & other) 9

Highest Degree: Ph.D Institution: U of California Berkeley Date: 1997

Additional Training/Education/Certifications/Licensure: ___

Review Period Begin Date: 2008

The review period begins with the date of appointment or most recent reappointment/promotion.

RECOMMENDATION BY DEPT CHAIR/SCHOOL DIRECTOR:

RECOMMENDATION BY DEAN:

- Reappoint as Assistant Professor for probationary period of three years
- Reappoint as Associate Professor and award tenure
- Do not reappoint
- Promote to Associate Professor and award tenure
- Promote to Professor and award tenure
- Promote to Professor
- Do not promote



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-
-
-
-
-
-

Comments: _____

Primary Dean/Adm. Head Signature: [Redacted] Other Chairperson/Director Signature: [Redacted]
Second Dean/Adm. Head Signature: [Redacted] Other Deans/Adm. Head Signature: [Redacted]
Provost Signature: _____

Reappointment without tenure and non-reappointment for faculty with a probationary end date of August 15 of next year is effective August 16 of next year. Reappointment with tenure is effective the first day of the month following the Board of Trustees' approval. Promotion without granting tenure is effective July 1. Promotion plus granting tenure is effective the first day of the month following Board of Trustees' approval.

FORM D - II SUMMARY INFORMATION

Summary Ratings of Scholarly Contributions by Department Chairperson/School Director:

The purpose of this summary is to assess the candidate's performance in relationship to expectations across the functional areas of instruction, research and creative activities, and service within the academic and broader community. For relevant sub-functions, indicate the faculty member's performance by placing an "X" under the most appropriate rating (from excellent to poor). Performance should be evaluated relative to most appropriate comparison group and to assigned duties as reflected in percentage of time. For example, the most appropriate level of comparison for the function of "research and creative activities" is a national/international comparison within the discipline.

Particular care should be taken with scholarly contributions that have their traditional home as service within the broader community. (Arenas singled out for mention are MSU Extension, Professional/Patient Care Activities, International Studies and Programs, and Urban Affairs Programs.) Such activities should be evaluated where they are most appropriate, be that instruction, research and creative activities, or service within the academic and broader community. ** These rankings reflect Madison standards*

Performance Ratings

Function	Sub-Functions	Assignment % of Time	Excellent	Very Good	Avg.	Below Avg.	Poor
INSTRUCTION	Undergraduate*	55					
	Graduate*	*					
	Non-Credit Instruction						
	Academic Advising	8					
RESEARCH & CREATIVE ACTIVITIES	Research & Creative Activities	20					
SERVICE	Academic: Within Scholarly and Professional Organizations	5					
	Academic: Within the University	5					
	Within the Broader Community: MSU Extension						
	Professional/Patient Care Activities						
	International Studies and Programs						
	Urban Affairs Programs						
	Other Service						
OTHER**	Other (specify) curricular development	7					
OVERALL RATING		100%					

* Include credit courses only, on and off campus.

** See Form D-IVD, "Additional Reporting."

* economics occasionally schedules 2 Prof. Cook to teach graduate courses

Summary Statements by Chairperson/Director and Dean:

1. Summary comments by Department Chairperson/School Director*. (Provide comments by function and across functions, citing strengths and weaknesses.)

The Economics Department completed its review of Lisa Cook for Promotion and Tenure. To do so, a Reading Committee was established to read Professor Cook's scholarly work, nominate external reviewers, and evaluate her teaching and service. The Reading Committee Report voted [redacted] tenure and promotion. The committee felt that [redacted] Professor Cook had [redacted] the department standards [redacted] tenure standards. On January 9, 2013 our department's Promotions Committee received the Reading Committee Report and discussed Professor Cook's case. After extensive discussion, the department voted with [redacted] tenure and promotion, [redacted]

As Chair of the Department, I [redacted] the Reading Committee and our Promotions Committee. That is, I [redacted] Professor Cook [redacted] promotion and tenure. The [redacted] Professor Cook's record [redacted] In particular, our department by-laws correctly emphasize the importance of [redacted] To date, Professor Cook has [redacted] Our department has promoted candidates with [redacted] in the past, but only when the [redacted]

[redacted] I [redacted] Professor Cook has [redacted] in our field. For example, in our department's most recent [redacted]

[redacted] Professor Cook's [redacted] the assessment of the Reading Committee is that [redacted] Professor Cook [redacted]

[redacted] Thus the [redacted] the Reading Committee's assessment analyses that [redacted]

Before voting, the Department spent considerable time discussing the external letters, which were [redacted] (with all coming from Full Professors at peer institutions. It was noted that [redacted] the reviewers gave Professor Cook [redacted] and they [redacted] for the [redacted] she has [redacted] that the letters [redacted] the Reading Committee. In particular, [redacted]

[redacted] that Professor Cook's [redacted] In the end, the Department [redacted]

*If the reporting period differs from the usual review period, please justify and support that period.

To summarize, I am [REDACTED]

[REDACTED] Thus, I conclude that [REDACTED]

[REDACTED] our department realizes that we are minority shareholders in terms of Professor Cook's appointment and that the research standards in James Madison College are different than ours. We believe that Professor Cook [REDACTED]

2. Summary statement by Dean* [REDACTED]

Professor Cook has a joint appointment with Madison College and the Department of Economics, with Madison being the tenure home. The two units have worked cooperatively with Professor Cook to establish a set of coherent and mutually compatible expectations, to review these expectations and Professor Cook's performance annually, and to work together to ensure this arrangement worked. Yet the two units have different missions: Economics is a research unit, which values teaching and service; Madison's primary mission is excellence in undergraduate education, with a concern for strong research and outreach. The units [REDACTED]

[REDACTED] Professor Cook, [REDACTED] Professor Davidson, Chair of Economics, has described above his unit's conclusion. Here I want to state that, with teaching the primary mission and with research expectations that looks to a wider range of outlets and to government and public policy work [REDACTED] I came to a conclusion that strongly supports Professor Cook's tenure and promotion.

[REDACTED] In addition, her experience before coming to Madison and more recently at the White House gives her an insight into the policy and advocacy world so many of our students seek as their eventual careers. [REDACTED]

[REDACTED] I believe that Professor Cook has met the standards of the Madison By-Laws and wider university requirements. [REDACTED] and I therefore recommend tenure and promotion.

*If the reporting period differs from the usual review period, please justify and support that period.

MICHIGAN STATE UNIVERSITY

Carl Davidson
Professor and Chairperson
Fax: 517.432.1068
Phone: 517.355.5238
Email: [REDACTED]

Mailing address:
MSU Department of Economics
Marshall-Adams Hall
486 W Circle Dr. Rm 110
East Lansing, MI 48824

January 10, 2013

Sherman W. Garnett
Dean James Madison College
S. Case Hall
842 Chestnut Rd., Rm 367
CAMPUS

Dear Dean Garnett:

The Economics Department has completed its review of Lisa Cook for Promotion and Tenure. To do so, a Reading Committee was established to read Professor Cook's scholarly work, nominate external reviewers, and evaluate her teaching and service. The Reading Committee Report is attached. As you can see, the committee voted [REDACTED] tenure and promotion. The committee felt that [REDACTED] Professor Cook had [REDACTED] the department standards [REDACTED] tenure standards. On January 9, 2013 our department's Promotions Committee received the Reading Committee Report and discussed Professor Cook's case. After extensive discussion, the department voted with [REDACTED] tenure and promotion, [REDACTED]

I [REDACTED] the Reading Committee and our Promotions Committee. That is, I [REDACTED] Professor Cook [REDACTED] promotion and tenure. The [REDACTED] Professor Cook's record [REDACTED] In particular, our department by-laws correctly emphasize the importance of [REDACTED] Professor Cook has [REDACTED] Our department has promoted candidates with [REDACTED] in the past, but only when the [REDACTED]

[REDACTED] I [REDACTED] Professor Cook has [REDACTED] in our field. For example, in our department's most recent [REDACTED]

[REDACTED] Professor Cook's [REDACTED] the assessment of the Reading Committee is that [REDACTED] Professor Cook [REDACTED]

[REDACTED] Thus the [REDACTED] I

[REDACTED] the Reading Committee's assessment [REDACTED]
analyses that [REDACTED]

As for the external reviewers, [REDACTED] the reviewers give
Professor Cook [REDACTED] and they [REDACTED] for the
[REDACTED] she has [REDACTED]
[REDACTED] that Professor Cook's [REDACTED]
[REDACTED] In addition, I [REDACTED]
[REDACTED]

To summarize, I am [REDACTED]
[REDACTED]
[REDACTED]
[REDACTED] I
believe that the [REDACTED] Professor Cook's [REDACTED]
[REDACTED]

This was [REDACTED] Nor was this [REDACTED]
Lisa Cook is a valued colleague. Whenever we fill a junior position we hope that the individual will
succeed and be promoted to Associate Professor with tenure. We do everything that we can to help out
along the way. [REDACTED]
[REDACTED] In this case, it is my belief that Lisa Cook has [REDACTED] I
[REDACTED]

Sincerely,
[REDACTED]
Carl Davidson
Chairperson, Department of Economics

MICHIGAN STATE
UNIVERSITY

February 28, 2013

MEMORANDUM

To: **Sherman Garnett, Dean-James Madison College**
From: [REDACTED] **Chair-Reappointment, Promotion, and Tenure Committee**
Re: **Recommendation in Tenure and Promotion Review of Lisa Cook**

Members of the RPT Committee in James Madison College met and deliberated twice in the review for tenure and promotion of Lisa Cook, who is jointly appointed in James Madison College (the lead unit and tenure home, 51%), and the Department of Economics in the College of Social Science (49%). In accord with a prior memorandum of understanding, it was mutually agreed Lisa would be reviewed by both units and held to the standards of each, with due consideration given the nature and special demands of the joint appointment.

Our RPT committee met first on Friday, January 4, 2013 to review Professor Cook's file, which included a personal statement, current CV, a research statement, numerous course syllabi, teaching materials and SIRS, seven external referee letters, faculty and student letters, published scholarship, and (as yet) unpublished scholarship. Committee members deliberated on the record fully at the first meeting, [REDACTED] Professor Cook had [REDACTED]

[REDACTED] James Madison College. Members also commented variously on the [REDACTED]

and on the [REDACTED]

We also commented on her [REDACTED]

and [REDACTED]

and on her [REDACTED]

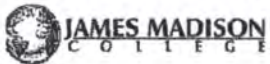
[REDACTED] RPT committee members delayed offering a final recommendation to await important input from Economics. We met again on Friday, January 11, 2013, after receiving critical written input from the Department of Economics.

The written input from Chair Carl Davidson to Dean Garnett dated January 10, 2013 reported the Reading Committee in Economics that reviewed Lisa Cook's record had voted [REDACTED] tenure and promotion [REDACTED]

[REDACTED] Specifically, the committee thought that the [REDACTED]

It was also noted that [REDACTED]

Chair Carl Davidson sent the Reading Committee report and also communicated that, after receiving the report, the Promotions and Tenure Committee in Economics on January 9 voted [REDACTED] tenure and promotion. Professor Davidson wrote that he [REDACTED]



Michigan State University
South Case Hall
East Lansing, MI
48825-1205

Main Office
517-353-6750
Fax: 517-432-1804

Dean's Office
517-353-6753

Admissions
517-353-5260
Toll Free: 888-222-3798

Academic Affairs
517-353-6754

Field Experience
517-353-6757

Development
517-432-2117

Career Services
517-353-6756

[REDACTED] Professor Cook

was [REDACTED] "a valued member of the department."

In the second meeting, our committee hosted Professor Carl Davidson and [REDACTED] Chair of the Reading Committee, for one hour to permit opportunity for members to

[REDACTED]

[REDACTED]

¹ [REDACTED]

Professor Davidson told our committee, [REDACTED]

Our RPT Committee then resumed its deliberations begun earlier, [REDACTED]

[REDACTED] Committee members thought that Lisa Cook [REDACTED]

[REDACTED] that she had [REDACTED]

[REDACTED] Thus, the RPT committee decided to [REDACTED]

Teaching

Committee members reviewed all syllabi, teaching materials, and SIRs from all of Lisa Cook's James Madison College courses. [REDACTED] Lisa Cook has [REDACTED]

[REDACTED] She has offered courses at all levels of the curriculum, including MC 202, Intro to Public Affairs, MC 295, Research Design and Quantitative Methods, MC 221, The Politics of International Economic Relations, MC 364, Policy Analysis and Program Evaluation, and MC 492 Senior Seminar in International Relations on The Political Economy of The New Capitalism. Students have rated her performance in these courses very highly – MC 202, MC 295, and MC 492 in 2010-11 were remarkably highly rated – and this despite the high demands she regularly places on them. Through her teaching, she has [REDACTED]

[REDACTED] At the same time, Lisa Cook has in the joint appointment taught EC 402, Advanced Macroeconomics twice, and EC 414, The Economic Analysis of Sub-Saharan Africa, three times, in Economics. Many of her strongest Madison students follow her into these Economics offerings.



Scholarship

RPT Committee members discussed Dr. Cook's published and unpublished scholarship



Moreover, members

we discussed the

and we discussed the

we discussed the

we also

discussed the

Finally, we

thought the

We should also say that,

Lisa Cook

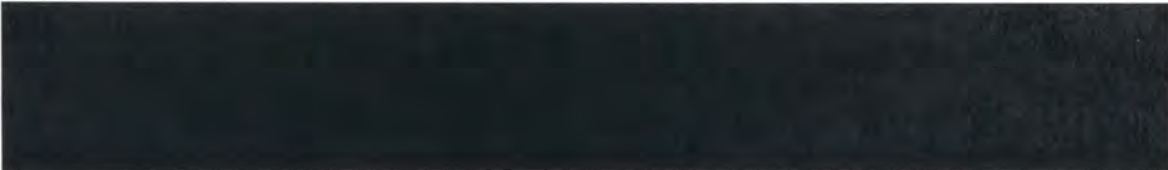




Service

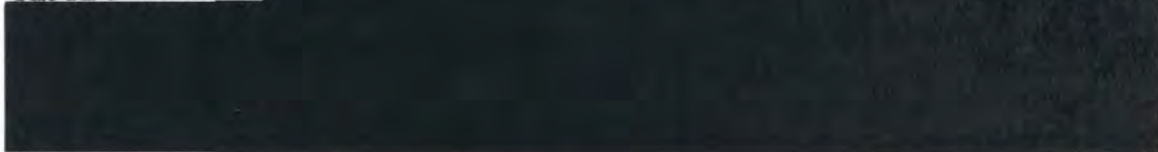
Finally, RPT committee members assessed Professor Cook's record of service in the college, the university and, as we could, to her profession. Professor Cook has served on several college committees and a faculty search committee, she has been active in sponsoring the appearance in the college of public policy professionals, she has represented the college in UCFA and UCAP, and she has assisted the college in its climate survey. At the same time, she has been active in Economics and the College of Social Science in various capacities, and she has employed research assistants from both colleges.

Professor Cook has been [redacted] active at Michigan State University on several university committees, especially the Marshall, Rhodes, and Truman scholarship committees, and recently in the Humphrey Fellows Program. Professor Cook has maintained ties with numerous units – Economics, Ag Economics, PLS, Ag and Natural Resources, and the Broad School – working with graduate students and mentoring undergraduates. Regarding the profession, she serves as an Associate Editor of *Feminist Economics* and a reviewer for the *Journal of Economic History* and for *Explorations in Economic History*. She is active in the Cliometrics Society.



Summary

The RPT committee [redacted]



Summary Evaluation of Instruction by Department Chairperson or School Director:

Evaluate the faculty member's scholarly contributions whose primary focus is **instructional**. Dimensions to be addressed may include (but are not limited to):

- *Credit instruction, on and off campus; course and curriculum development; experimental curricula; development of instructional materials such as textbooks or software; technology enhanced instruction;*
- *Non-credit instructional activities including the development of certificate programs, community programs, extension programming, etc.;*
- *International instruction such as instruction abroad, comparative/international courses on campus, etc.;*
- *Patient care activities in support of instruction;*
- *Academic advising (making clear what the appropriate responsibilities and expectations are); and*
- *Instructional activities in professional/clinical, extension, international, or urban arenas.*

The evaluation should address the scholarship, significance, impact, and attention to context of the faculty member's accomplishments as evidenced, for instance, in: *SIRS forms; peer evaluation of instruction; evaluations by affected groups; teaching portfolios, including course syllabi, examinations; websites, etc.; publications and presentations related to pedagogy; guest lectures and visiting/adjunct appointments; grants received in support of instruction; and instructional awards or other forms of professional/alumni recognition.*

Professor Cook has achieved Madison College's standard of 'sustained excellence in teaching' and has also won praise from Economics for her work in the classroom. [REDACTED]

[REDACTED] For Madison College, she has taught at all levels of the curriculum, focusing especially on international economic policy issues, the international system, issues of racial inequality, Africa and the former USSR, and methods of policy analysis. She has also taken her turn in general, all-college courses such as the freshman public affairs course and the introduction to methods. She is a [REDACTED] teacher, [REDACTED] and engaging students. She is [REDACTED] in developing a mentoring relationship with students of exceptional merit and/or especially taken by economic policy issues. She has guided these students through their own research, major scholarship competitions, and toward the best graduate and law school choices. She is [REDACTED] to supporting minority and underrepresented students. [REDACTED]

FORM D - III B RESEARCH AND CREATIVE ACTIVITIES

Summary Evaluation of Research and Creative Activities by Department Chairperson or School Director:

Evaluate the faculty member's scholarly contributions whose primary focus is **research and creative activities**. Dimensions to be addressed may include (but are not limited to):

- *Discovery of new knowledge, including creative activities, and originality of approach;*
- *Development of innovative problem-solving strategies or methodologies;*
- *Application and dissemination of knowledge, including extension activities;*
- *Patient care activities in support of research and creative activities; and*
- *Research and creative activities in outreach, professional/clinical, extension, international, or urban arenas.*

The evaluation should address the scholarship, significance, impact, and attention to context of the faculty member's accomplishments as evidenced, for instance, in: *publications, presentations, poster sessions, websites, etc.; performances and exhibits; scores, showings, recordings, and curatorial activities; citations of one's work by others; evaluations by peers and affected groups including comments by outside evaluators, journal editors, referees, etc.; grants received in support of research; and research awards or other forms of professional/alumni recognition.*

The great difference between Madison and Economics may be found here. In part, the two units rate scholarship differently as part of the overall standards for tenure. In part, Madison has a broader definition of scholarly activity, while Economics, as a research department, aims at a strong quantitative research output in the top and near-top tier journals in the field.

[REDACTED]

[REDACTED] Professor Cook has [REDACTED]
[REDACTED] Our department has promoted candidates with [REDACTED] in the past,
but only when the [REDACTED]

[REDACTED]

[REDACTED] Professor Cook has [REDACTED] in our field. For example,
in our department's most recent [REDACTED]

[REDACTED]

[REDACTED] Professor Cook's [REDACTED]

[REDACTED]



Summary Evaluation of Academic Service by Department Chairperson or School Director:

1. Evaluate the faculty member's scholarly contributions in activities whose primary focus is **service within the academic community**—within professional and scholarly organizations or within the University. Dimensions to be addressed may include (but are not limited to):
- *Membership in professional organizations/societies external to the University;*
 - *Role as editor of scholarly or professional journal or other similar publication;*
 - *Leadership role in internal academic governance and/or in external professional organizations;*
 - *Membership on department/school, college and university governance committees;*
 - *Ad hoc service involvement in special study groups/committees, service on internal/external review panels, member of grievance panels, etc.; and*
 - *Academic service activities in outreach, professional/clinical, extension, international, or urban arenas.*

The evaluation should address the scholarship, significance, impact, and attention to context of the faculty member's accomplishments as evidenced, for instance, in: *committee accomplishments (policies, reports, organizational changes), evaluation by committee colleagues/chairperson or organization executive officers, and service awards or other forms of professional/alumni recognition.*

Professor Cook has taken on a wide variety of service roles in her two departments and in the larger university. She has served on search committees for key faculty and staff positions. She has been a leader in preparing our students for prestigious competitions, such as the Marshall and Truman. She was part of the group that put together the College's important internal climate survey several years ago, a key study of issues of gender, race, and other factors that made up the working climate of the College. In Economics, she has been a member of the Development Economics Field Exam committee and has served on graduate student guidance committees in the Economics Department. In the wider university, she has served on UCFA, UCAP, the Marshall, Rhodes, and Truman selection committees. [REDACTED]

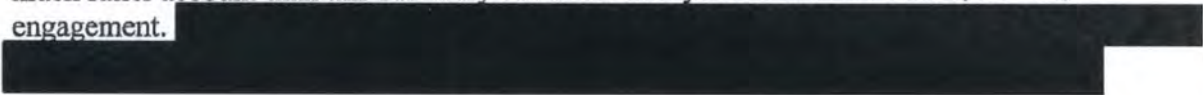
[REDACTED] She is someone who is actively a part of her two home units and has made a contribution to them and to the larger university by her service.

2. Evaluate the faculty member's scholarly contributions in activities whose primary focus is **service within the broader community**. Dimensions to be addressed may include (but are not limited to):
- *Application of scholarship to voluntary roles in community-based organizations;*
 - *Establishment of community links, voluntary leadership roles in community-based organizations;*
 - *Success in achieving grants and other forms of support for community service activities;*
 - *Success in completing assignments and projects for community service activities;*
 - *Responsiveness to societal needs and attention to the assets and goals of external groups;*
 - *Effectiveness in promoting the inclusion and advancement of diverse groups;*
 - *Development and evaluation of innovative approaches, strategies, technologies, and systems of service delivery.*
 - *Broader community service activities in professional/clinical, extension, international, or urban arenas.*

The evaluation should address the scholarship, significance, impact, and attention to context of the faculty member's accomplishments as evidenced, for instance, in: *publications, programs offered, presentations, performances, exhibits, broadcasts, websites, brochures and other print materials, and collection development; grants received in support of community activities; evaluations by affected groups including comments by outside evaluators, conference organizers, and/or media representatives.*

FORM D – III C SERVICE WITHIN THE ACADEMIC AND BROADER COMMUNITY

Professor Cook has a wide range of service within her profession, including as a reviewer for the *Journal of Economic History* and *Explorations in Economic History*, and a number of other economics journals, and the leading university press for the economics profession, MIT Press. She has a wide range of involvement in various foundations and professional gatherings. She has also served on the President's Council of Economic Advisors during the 2011-2012 academic year, and she was part of the Obama transition team in 2008, advising the team of economic policy questions. In both categories of service, Professor Cook's statement provides a much fuller account than this summary can of her many activities of outreach, service, and engagement.



FORM D - III D ADDITIONAL REPORTING

Summary Evaluation of Candidate's Special Foci by Department Chairperson or School Director:

Where appropriate, evaluate the faculty member's scholarly activities and contributions **across the functional areas** of instruction, research and creative activities, and service within the academic and broader community. While the faculty member's accomplishments may be reported under any of the functional areas or on the additional reporting page (D-IVD), this space provides an opportunity for special comments where the faculty member's work shows integration across the functions or has had a particular focus. This is also the appropriate place for discussion of any contributions or accomplishments that do not naturally fit elsewhere.

[Not Applicable]

FORM D - IV A INSTRUCTION

The faculty member is encouraged to use a range of evidence demonstrating instructional accomplishment, which can be included in portfolios or compendia of relevant materials.

1. Undergraduate and Graduate Credit Instruction:

Record of instructional activities for at least the past six semesters. Include only actual participation in credit courses (on- or off-campus instruction) or virtual university on-line courses. In determining the "past six semesters," the faculty member may elect to exclude any semesters during which s/he was on leave; additional semesters may be included on an additional page. Fill in or, as appropriate, attach relevant print screens from CLIFMS*.

Semester and Year	Course Number	Credits (Number or Var)	Number of Sections Taught			Number of Students	Number Of Assistants**	Notes
			Lec	Rec	Lab			
Fall 2012	MC 364	4		1		24		
	MC 492	5		1		18		
	PLS 891	1-3		1		19		
Spring 2011	MC 221	4		1		29		
Fall 2010	MC 492	5		1		13		
Spring 2010	MC 202	4		1		16		
	MC 202	4		1		23		
	MC 295	4		1		25		
Fall 2009	EC 402	3		1		36		
Fall 2008	EC 402	3				21		
	EC 414	3				28		

2. Non-Credit Instruction:

List other instructional activities including non-credit courses/certificate programs, licensure programs, conferences, seminars, workshops, etc. Include non-credit instruction that involves international, comparative, or global content delivered either to domestic or international groups, either here or abroad.

see attached

*Consult departmental staff who are authorized to enter data on the web-based CLIFMS (Course Load, Instruction, Funding and Modeling System) system and can search for course sections and enrollments by faculty name, per semester.

**May include graduate and undergraduate assistants, graders, and other support personnel.

IV A. Instruction

2. Non-Course Instruction

Programs

Visiting International Professionals Program (VIPP)

April 2011: "New Methods in Economic Research"

Business Management and Communication Skills Certificate Program

MSU Graduate School, 2009 and 2010, Micro and Macro Economics module

Attendance, External Conferences

National Science Foundation Meetings

Rockefeller Bellagio Center, Bellagio, Italy, July 2011: High-Level Meeting on International Coordination of Scientific Output Measures

Alexandria, VA, June 2011: New Uses of Patent Data Conference, Patent and Trademark Office, Atlanta, GA 2011 and Washington, DC 2012: STEM Women of Color Conference

National Bureau of Economic Research (NBER) Summer Institute

Economic History, July 2009, 2010, 2012

Innovation Policy and Intellectual Property, July 2009, 2010, 2011, 2012

Political Economy, July 2011

Ohio State University Second Wave Conference

Columbus, June 2012: "Long-Term Consequences of Black Names" with Trevon Logan and John Parman

White House Economists' Meeting on African Americans, Jobs, and the Economy

The White House, Washington, DC, April 2012: Organizer

CLIO(metrics) Meeting

University of Colorado, Boulder, June 2011: Session Chair

Economic History Association Meetings

University of Arizona, Tuscon, AZ, September 2009

Northwestern University, Evanston, IL, September 2010

DITE/American Economic Association Meetings

Duke University, May 2009

Northeastern Universities Development Conference

Tufts University, October 2009

National Bureau of Economic Research (NBER) African Successes Conference
Cambridge, MA, February 2009

Presentations and Seminars, External

American Economic Association Meetings

San Diego, January 2013: "Long-Term Consequences of Black Names" with Trevon Logan and John Parman

Chicago, IL, January 2012: "The Color of Lynching"

San Francisco, CA, January 2009: "Metals or Management? Explaining African Economic Growth" with Laura Beny

National Science Foundation and the National Academies of Science

Washington, DC, September 2012: "New Frontiers in Research in Science of Science Policy"

Gordon Research Seminars in Science and Science Policy

White Mountain, New Hampshire, August 2012: "Bad International Relations but More Science? Soviet Technological Spillovers and the Boycott of the 1980 Moscow Olympics"

National Bureau of Economic Research (NBER) Summer Institute

Cambridge, MA, July 2012

Economic History, "Long-Term Consequences of Black Names" with Trevon Logan and John Parman

Harvard University

Department of Economics, March, 2012: "Long-Term Consequences of Black Names" with Trevon Logan and John Parman

Organisation of Economic Cooperation and Development (OECD)

Paris, March 2012: "The Contribution of Intellectual Property and Intangibles in the U.S. and Other OECD Countries"

U.S. Treasury Department

Washington, February 2012: "Trade in Financial Services"

Yale University

Law School and African American Studies, February 2011: "African American Patents, the Rule of Law, and Economic Growth"

University of Pittsburgh

Department of Slavic Languages and Literatures, February 2011: "Evolution of Academic Research in Post-Soviet Russia"

University of Michigan

Department of Economics, 2008, 2010, 2011

"African American Patents and Economic Growth"

"A Green Light for Red Patents: International Knowledge Spillovers from the Soviet Union, 1959-1991"

"Metals or Management? Explaining African Economic Growth" with Laura Beny

DITE/American Economic Association Meetings

Duke University, February 2010: "The Idea Gap in Pink and Black"

Harvard Business School

May 2009: "A Green Light for Red Patents: International Knowledge Spillovers from the Soviet Union and Russia, 1959-2007"

National Bureau of Economic Research (NBER) Productivity Workshop

Cambridge, MA, Spring 2009: "African American Great Inventors"

Federal Reserve Bank of Chicago

Detroit, MI, April 2010, 2011: "New Perspectives on the Financial and Economic Crisis: Survey Evidence from Michigan Households," Money Smart Week

Michigan State Legislature (with MSU Extension and Department of Human Ecology)

Lansing, December 2009: "New Perspectives on the Financial and Economic Crisis: Survey Evidence from Michigan Households"

NBER African Successes Conference

Cambridge, MA, December 2009

Accra, Ghana, July 2010

"Did Nigerian Banking Reforms Work...and for the Poor?"

"Globalistics" [Globalization] Conference

Moscow State University, July 2009: "A Green Light for Red Patents: International Knowledge Spillovers from the Soviet Union and Russia, 1959-2007"

Department of Commerce

Washington, DC, April 2009: "African Economic Performance," International Trade Center

JMC and MSU College of Social Science Faculty Panel

Washington, DC (Discussion with JMC and MSU Alumni), March 2009: "Michigan in the Eye of the Storm"

Conferences, MSU

Development Research Day, Department of Economics

Development research workshop with University of Chicago, Michigan, Northwestern, Notre Dame

Organizing Committee

Undergraduate Research Showcase

April 2011: Session Chair, Economic Development

Midwest Macroeconomics Conference

Department of Economics, April/May 2010: Organizer

MSU Race Conference

April 2008, 2013: Chair and Presenter

Presentations and Seminars, MSU

JMC Student Senate

December 2012: "What I Would Tell the President"

Department of Economics

2010-2011

"Incentives, Intellectual Property, and Brazilian Biofuels"

"The Idea Gap in Pink and Black"

"Chinese Investment in Africa"

Department of Philosophy

April 2011: "Sen: Philosophy, Economics, and the New Challenges of Development"

African Studies Center

April 2011: "Chinese Investment in Africa"

MSU Mid-Michigan Alumni

April 2011: "Obama's First Year: An Insider's View"

GenCen Colloquium

March 2011: "The Idea Gap in Pink and Black"

JMC International Relations Students

March 2011: "Economics, Social Media, and the Arab Spring"

Honors College

November 2010: "Economics and International Relations at MSU"

Broad School of Business Economics and Business Panel

April 2009: "Financial and Economic Crisis"

World Bank-IMF Spring Meetings

Washington, DC, April 2009: "African Economic Performance and the Aid Crisis"

Guest Lectures to Classes

"The Euro Zone, Financial Crisis, and the Neo-Nazi Threat;" guest Lecture to MC 201 Introduction to Public Affairs; November 2012; approximately 200 JMC students

FORM D – IV A INSTRUCTION, continued

3. Academic Advising:

a. Faculty member’s activity in the area of academic advising. The statement may include commentary on supplementary materials such as recruitment activities, international student advising, evidence of peer recognition, and evidence of student recognition.

Undergraduate: 15

Graduate: See Attached

Graduate/Professional: See Attached

Other:

b. Candidate’s undergraduate advisees (if applicable to individual under review):

	Freshman	Sophomore	Junior	Senior
Number of current undergraduate advisees		2	8	5

c. Candidate’s graduate/graduate-professional advisees (limit to principal advisor or committee chairpersonship status):

	Masters	Doctoral	Professional
Number of students currently enrolled or active			
Number of graduate committees during the reporting period			
Degrees awarded during the reporting period			
Degrees awarded during career			

Form D – IVA Instruction, continued

3. Academic Advising

Undergraduate

Honors Thesis Committee, Political Science, [REDACTED]

Graduate

Department of Economics Graduate Student Guidance Committee: [REDACTED]
[REDACTED]

Department of Economics Graduate Research Assistantships: Intensive research training for graduate students in Economics with support primarily from external grants, e.g., NSF and the National Bureau of Economic Research (NBER) with the Bill and Melinda Gates Foundation and the Kauffman Foundation, but also with support from internal grants, e.g., IPPSR's Michigan Applied Public Policy Research (MAPPR) grant

Doctoral Dissertation Committees, Agricultural Economics and Broad School of Business: [REDACTED]
[REDACTED]

Master's Thesis Committees, Agricultural Economics: [REDACTED]
[REDACTED]

Graduate and Professional

Humphrey Fellows Program: [REDACTED]
[REDACTED]

FORM D – IV A INSTRUCTION, continued

4. List of Instructional Works:

List publications, presentations, papers, grants received (refer to Form D-IVE), and other works that are primarily in support of or emanating from instructional activity.

GenCen Curriculum Development Grant, Summer 2011, \$1500: Developed new material for courses in development economics based on new empirical research on women and girls and development outcomes

5. Other Evidence of Instructional Activity:

Cite other evidence of instructional productivity such as works/grants in progress or under review (refer to Form D-IVE). Address instructional goals and approaches; innovative methods or curricular development; significant effects of instruction; and curatorial and patient care activities, etc. Include evidence of instructional awards and peer recognition (within and outside the university).

National Association of Family and Consumer Sciences, National and Regional Educational Technology and Instruction Award, October 2012: Instructional video created for personal-finance online survey created in conjunction with MSUE

FORM D - IV B RESEARCH AND CREATIVE ACTIVITIES

1. List of Research/Creative Works:

Attach a separate list of publications, presentations, papers, and other works that are primarily in support of or emanating from Research and Creative Activities. Indicate how the primary or lead author of a multi-authored work can be identified. The list should provide dates and, in particular, accurately indicate activity from the reporting period. Items to be identified:

- 1) Books
- 2) Book chapters
- 3) Bulletins or monographs
- 4) Articles
- 5) Reviews
- 6) Papers and presentations for learned professional organizations and societies
- 7) Artistic and creative endeavors (exhibits, showings, scores, performances, recordings, etc.)
- 8) Reports or studies

Indicate peer-reviewed or refereed items with a “**”.

Indicate items with a significant outreach component with a “***” (determined by the faculty member)

2. Quantity of Research/Creative Works Produced:

For each of the categories listed in question one above, list the number of research and creative works produced.

	1	2	3	4	5	6	7	8
During the reporting period	0	4	0	11	2	14	1	0
During career	0	13	4	14	4	50+	1	10

3. Number of Grants Received (primarily in support of research and creative activities; refer to Form D-IVE):

During the reporting period: 17 During career: 35+

4. Other Evidence of Research/Creative Activity:

Cite other evidence of research and creative productivity such as: seminars, colloquia, invited papers; works/grants in progress or under review (refer to Form D-IVE); patents; formation of research-related partnerships with organizations, industries, or communities; curatorial and patient care activities, etc. Include evidence of peer recognition (within and outside the university).

National Association of Family and Consumer Sciences, National and Regional Educational Technology and Instruction Award, October 2012: Instructional video created for personal-finance online survey created in conjunction with MSUE

IV B. Research/Creative Works - List of Research and Creative Works

2. Book Chapters

"The Euro Area Crisis and Its Implications for the United States," Chapter 5 in Alan Krueger, et al., eds. Economic Report of the President, February 2012. *, **

"Small Businesses and the Recovery," Chapter 2 in Alan Krueger, et al., eds. Economic Report of the President, February 2012. *, **

"Were the Nigerian Banking Reforms of 2005 a Success...And for the Poor?" July 2010, NBER African Development Successes Project, NBER Working Paper No. 16890, forthcoming in NBER volume African Development Successes.

"Does Government Help or Hinder Innovation?" in F. Scott Kieff and Troy Paredes, eds., Commercializing Innovation. New York: Cambridge University Press, forthcoming.

"Patents and Knowledge Spillovers to Developing Countries," in Sisay Asefa, ed., Globalization and International Development: Critical Issues of the 21st Century, 44th Werner-Sichel Lecture Series, W.E. Upjohn Lecture Series. Kalamazoo: Upjohn Institute, 2010. **

4. Articles

"Overcoming Discrimination by Consumers during the Age of Segregation: The Example of Garrett Morgan," Business History Review, Volume 86, Issue 2 (Summer 2012), <http://journals.cambridge.org/action/displayAbstract?fromPage=online&aid=8691149>. *, **

"Converging to a National Lynching Database: Recent Developments and the Way Forward," Historical Methods, Volume 45, Issue 2 (March 2012), <http://www.tandfonline.com/doi/abs/10.1080/01615440.2011.639289>. *

"Inventing Social Capital: Evidence from African American Inventors, 1843-1930," Explorations in Economic History, Volume 48, Issue 4 (December 2011), pp. 507-518, <http://www.sciencedirect.com/science/journal/00144983/48>. *, **

"Metals or Management? Explaining Recent Economic Growth in Africa," American Economic Review, 99(2): 268-74 (May 2009), with Laura Beny, <http://www.jstor.org/discover/10.2307/25592410?uid=3739256&uid=2&uid=4&sid=21101631957541>. *

5. Reviews

Robert J. Norrell. Up from History: The Life of Booker T. Washington. Cambridge: Harvard University Press, 2008, reviewed for Business History Review, by Lisa D. Cook (Spring 2010)

Bruce Sinclair, ed. *Technology and the African American Experience: Needs and Opportunities for Study*. Cambridge, MA: MIT Press, 2004, reviewed for *Journal of Economic History*, (2004), 64:3:900-902 Cambridge University Press.

Ross Thomson, *Structures of Change in the Mechanical Age: Technological Innovation in the United States, 1790-1865*. Baltimore: Johns Hopkins University Press, 2009. xiv + 432 pp. \$68 (hardcover), ISBN: 978-0-8018-9141-0, reviewed for EH.NET by Lisa D. Cook (February 2010)

6. Accepted Papers

"The Financial and Economic Crisis: Implications for Consumer Finance and for Households in Michigan," 2011, Michigan State University, *Journal of Consumer Education*. *, **

"Were the Nigerian Banking Reforms of 2005 a Success...And for the Poor?" July 2010, NBER Working Paper No. 16890, forthcoming in NBER volume *African Development Successes*, <http://www.nber.org/papers/w16890.pdf>. *, **

Papers under Review

"The Long-Term Consequences of Distinctively Black Names," with Trevon D. Logan and John Parman, July 2012, under review, *American Economic Review*, <http://www.nber.org/papers/w18802>. *

"Violence and Economic Growth: Evidence from African American Patents, 1870-1940," 2009, Michigan State University, revise and resubmit, *Journal of Economic Growth*. *

"A Green Light for Red Patents: New Evidence from Soviet Innovation Abroad, 1933 to 1991," Michigan State University, 2010, revise and resubmit, *Journal of Economic History*. *

"The Idea Gap in Pink and Black," with [REDACTED] NBER Working Paper No. 16331, September 2010, under review, *Science*, [REDACTED]. *

Other Working Papers

"Bad International Relations but More Science? Soviet Technological Spillovers and the Boycott of the 1980 Moscow Olympics," with [REDACTED] May 2012.

"Is Intellectual-Property Protection In Developing Countries and Emerging Markets Driven by Supply or Demand? Evidence from Ethanol Production in Brazil, 1980 to 2008," with [REDACTED] Michigan State University, March 2010.

FORM D - IV C SERVICE WITHIN THE ACADEMIC AND BROADER COMMUNITY

1. Service within the Academic Community

a. Service to Scholarly and Professional Organizations:

List significant committee/administrative responsibilities in support of scholarly and professional organizations (at the local, state, national, and international levels) including: elected and appointed offices held; committee memberships and memberships on review or accreditation teams; reports written and submitted; grants received in support of the organization (refer to Form D-IVE); editorial positions, review boards and ad hoc review requests; and programs and conferences planned and coordinated, coordinated or served on a panel or chaired a session. Include evidence of contributions (e.g., evaluations by affected groups or peers).

Editorial Assignments

Associate Editor: Feminist Economics

Referee: Journal of Economic History, Explorations in Economic History, Business History Review, Oxford

Journal of Economics, Review of Black Political Economy

Reviewer: MIT Press (leading economics press)

Grant Review Panels

National Science Foundation: Science of Science Policy and Innovation Programs Review Panels

NASA-American Historical Association-Economic History Association: Postdoctoral Grant Review Panel

Dissertation Prize Review Panel, National Economic Association

Visiting Researcher, Federal Reserve Bank of Philadelphia

Profile Participant, Committee on the Status of Minorities in the Economics Profession

Participated in interviews of selected members of the American Economic Association

b. Service within the University:

List significant committee/administrative responsibilities and contributions within the University. Include service that advances the University's equal opportunity/affirmative action commitment. Committee service includes: appointed and elected university, college, and department ad hoc or standing committees, grievance panels, councils, task forces, boards, or graduate committees. Administrative responsibilities include: the direction/coordination of programs or offices; admissions; participation in special studies or projects; collection development, care and use; grants received in support of the institution (refer to Form D-IVE), etc. Describe roles in any major reports issued, policy changes recommended and implemented, and administrative units restructured. Include evidence of contributions (e.g., evaluations by peers and affected groups).

University Committee for Faculty Affairs

Ad Hoc Committee on technology adoption

University Committee for Academic Policy

Robert F. Banks Award for Institutional Leadership Selection Committee

Marshall and Truman Scholarship Committees

Undergraduate Prize in Economics, Nominating Committee and Presenter

FORM D - IV C SERVICE WITHIN THE ACADEMIC AND BROADER COMMUNITY

MSUE Collaboration on Household Finance in Michigan
Co-Director

African Studies Center
Advisory Committee and Core Faculty Member

Center for Venture Capital, Private Equity, and Entrepreneurial Finance, Broad School of Business
Acting Assistant Director and Core Faculty Member

Center for the Advanced Study of International Development
Core Faculty Member

Center for European, Russian, and Eurasian Studies
Core Faculty Member

Center for Gender in Global Context
Core Faculty Member

FORM D - IV C SERVICE WITHIN THE ACADEMIC AND BROADER COMMUNITY, continued

2. Service within the Broader Community:

As a representative of the University, list significant contributions to local, national, or international communities that have not been listed elsewhere. This can include (but is not restricted to) outreach, MSU Extension, Professional and Clinical Programs, International Studies and Programs, and Urban Affairs Programs. Appropriate contributions or activities may include technical assistance, consulting arrangements, and information sharing; targeted publications and presentations; assistance with building of external capacity or assessment; cultural and civic programs; and efforts to build international competence (e.g., acquisition of language skills). Describe affected groups and evidence of contributions (e.g., evaluations by affected groups; development of innovative approaches, strategies, technologies, systems of delivery; patient care; awards). List evidence, such as grants (refer to Form D-IVE), of activity that is primarily in support of or emanating from service within the broader community.

White House Council of Economic Advisers

1 of 4 academic economists selected to serve during 2011-2012 academic year

White House Representative

Organization for Economic Cooperation and Development (OECD) Economic Policy Committees

Obama-Biden Transition Team

Economics and International Trade Team

Led review of the World Bank and the International Affairs Division of the Treasury Department

Congressional Testimony

Washington, DC, June 2009: "U.S. – Africa Trade Relations: Creating a Platform for Economic Growth," Joint Hearing of the Subcommittee on Commerce, Trade, and Consumer Protection of the Committee on Energy and Commerce and the Subcommittee on Africa and Global Health of the Committee on Foreign Affairs

Marshall Scholarship National Selection Committee

New England region

Truman Scholarship National Selection Committee

New England and Western regions

Board of Trustees, Spelman College

Chair, Student Affairs Committee

Member, Budget and Finance Committee

FORM D - IV D ADDITIONAL REPORTING

1. **Evidence of Other Scholarship:**

Cite evidence of "other" scholarship as specified on p. 2 in the "summary rating" table (i.e., functions outside of instruction, research and creative activity, and service within the academic and broader community). Address the scholarship, significance, impact, and attention to context of these accomplishments.

2. **Integration across Multiple Mission Functions:**

Discuss ways that your work demonstrates the integration of scholarship across the mission functions of the university—instruction, research and creative activities, and service within the academic and broader community.

Cross-fertilization has been a critical feature of my joint appointment between James Madison College and the Department of Economics and my time at MSU, more generally. My research on growth, innovation, and financial markets and institutions has appeared in my courses on macroeconomics, development economics, and on quantitative methods. This research has also been the basis of my academic service. I was selected for service at the White House and for Congressional testimony based on my research and publications. Finally, my periods of academic service have made their way back to these and other courses to raise interesting questions related to policy and to encourage research based on new ideas that emerged during these periods.

3. **Other Awards/Evidence:**

Cite other distinctive awards, accomplishments of sabbatical or other leaves, professional development activities, and any other evidence not covered in the preceding pages. (If the reporting period differs from the usual review period, then justify and support that period here.)

White House Council of Economic Advisers

1 of 4 academic economists selected to serve during 2011-2012 academic year

National Bureau of Economic Research Innovation Policy Fellow

National competition based on new research on innovation

National Association for Family and Consumer Sciences

National Award for Applied Research

National and Regional Award for Educational Technology

FORM D - IV E GRANT PROPOSALS

List grant proposals submitted during reporting period relating to teaching, research and creative activities, or service within the academic and broader community. Include grants in support of outreach, international, urban, and extension activities.*

Name of Granting Agency (Grantor:) Focus of Grant (Focus:)	Date Submitted	\$ Amount Requested	Status		\$ Amount Assigned to Faculty Candidate (if Applicable)	Principal/Co-Investigators (if not faculty candidate)
			Pending	Not Funded		
I. Instruction						
Grantor: See Attached			<input type="checkbox"/>	<input type="checkbox"/>		
Focus:						
Grantor:			<input type="checkbox"/>	<input type="checkbox"/>		
Focus:						
II. Research/Creative Activity						
Grantor: Attached			<input type="checkbox"/>	<input type="checkbox"/>		
Focus:						
Grantor:			<input type="checkbox"/>	<input type="checkbox"/>		
Focus:						
Grantor:			<input type="checkbox"/>	<input type="checkbox"/>		
Focus:						
Grantor:			<input type="checkbox"/>	<input type="checkbox"/>		
Focus:						
III. a. Service – Academic Community						

*Anyone with an MSU Net username and password can log onto the web-based Information Reference database, maintained by the Office of Contract and Grant Administration, to search for records of proposals and grant awards by principal investigator. Printouts may be attached to this page.

FORM D - IV E GRANT PROPOSALS

Name of Granting Agency (Grantor:) Focus of Grant (Focus:)	Date Submitted	\$ Amount Requested	Status			\$ Amount Assigned to Faculty Candidate (if Applicable)	Principal/Co-Investigators (if not faculty candidate)
			Pending	\$ Amt Funded	Not Funded		
Grantor: Attached			<input type="checkbox"/>		<input type="checkbox"/>		
Focus:							
III. b Service – Broader Community							
i. MSU Extension							
Grantor: Attached			<input type="checkbox"/>		<input type="checkbox"/>		
Focus:							
ii. Professional/Patient Care Activities							
Grantor:			<input type="checkbox"/>		<input type="checkbox"/>		
Focus:							
iii. International Studies and Programs							
Grantor: Attached			<input type="checkbox"/>		<input type="checkbox"/>		
Focus:							
vi. Urban Affairs Programs							
Grantor:			<input type="checkbox"/>		<input type="checkbox"/>		
Focus:							
v. Other							
Grantor:			<input type="checkbox"/>		<input type="checkbox"/>		
Focus:							

*Anyone with an MSU Net username and password can log onto the web-based Information Reference database, maintained by the Office of Contract and Grant Administration, to search for records of proposals and grant awards by principal investigator. Printouts may be attached to this page.

IV. E. Grants and Proposals

1. Instruction

Date Submitted: Spring 2011

Amount Requested: \$1500

Amount Funded: \$1500

Grantor: Center for Gender in the Global Context (MSU)

Focus: Curriculum development, empirical economic research on women and girls in developing countries

2. Research

Date Submitted: Spring 2011

Amount Requested: \$140,593

Amount Funded: \$140,593

Grantor: The White House Council of Economic Advisers (IPA)

Focus: Economic research and advising on innovation, the euro zone, entrepreneurship, and the Michigan economy

Date Submitted: Fall 2010

Amount Requested: \$156,496

Amount Funded: \$156,496

Grantor: National Science Foundation

Focus: Research on invention and innovation disparities among women and minorities

Date Submitted: Fall 2010

Amount Requested: \$3000

Amount Funded: \$2000

Grantor: Harvard Business School

Focus: Research on historical financial crises

Date Submitted: Fall 2010

Amount Requested: N/A, in-kind only

Amount Funded: Not funded

Grantor: Radcliffe Institute

Focus: Research on historical financial crises

Date Submitted: Fall 2010

Amount Requested: N/A, in-kind only

Amount Funded: Not funded

Grantor: Sage Foundation

Focus: Research household finance and the Michigan economy

Date Submitted: February 2010
Amount Requested: Funded, in-kind only
Amount Funded: Funded, in-kind award only
Grantor: National Poverty Center, University of Michigan
Focus: Household finance in Michigan during the Great Recession and recovery

Date Submitted: Winter 2009
Amount Requested: \$60,000
Amount Funded: over \$100,000
Grantor: National Bureau of Economic Research (NBER) and Bill and Melinda Gates Foundation
Focus: Research on bank reform and access to banking in Nigeria

Date Submitted: Winter 2008
Amount Requested: \$10,000
Amount Funded: Nearly \$20,000
Grantor: National Bureau of Economic Research (NBER) and Kauffman Foundation
Focus: Innovation Policy and the Economy Fellowship with a focus on new research on commercialization of intellectual property by women and minorities

Date Submitted: Fall 2008
Amount Requested: \$1500
Amount Funded: \$1500
Grantor: American Economic Association
Focus: Research on commercialization of innovation among women and minorities

Date Submitted: Fall 2008
Amount Requested: \$2500
Amount Funded: \$2500
Grantor: Economic History Association – Arthur Cole Grant
Focus: Research on Soviet invention and innovation

3. Service

MSU Extension:
Date Submitted: Spring 2009, Summer 2010, Spring 2011
Amount Requested: \$50,000
Amount Funded: \$30,000
Grantor: MSUE
Focus: Household finance in Michigan during the Great Recession and recovery; survey development, data collection, research, and outreach

International Studies and Programs:

Date Submitted: Spring 2011

Amount Requested: \$1200

Amount Funded: \$1200

Grantor: ISP with JMC, CSS

Focus: Research meeting on European Patent and Scientific Data at Rockefeller Bellagio Center, Bellagio, Italy

Date Submitted: Spring 2011

Amount Requested: \$1200

Amount Funded: \$1200

Grantor: ISP

Focus: Research presentation and meetings on Nigerian Banking reform at the African Development Bank, Tunis, Tunisia

Date Submitted: Spring 2010

Amount Requested: \$500

Amount Funded: \$500

Grantor: African Studies Center

Focus: Research presentation on Nigerian Banking reform

Date Submitted: Spring 2008

Amount Requested: \$500

Amount Funded: \$500

Grantor: African Studies Center

Focus: Research presentation at the American Economic Association meetings on recent African economic growth

Date Submitted: Spring 2008

Amount Requested: \$3000

Amount Funded: \$3000

Grantor: Center for European, Russian, and Eurasian Studies

Focus: Presentation of new research on Soviet and Russian patents at Moscow State University

Date Submitted: Spring 2008

Amount Requested: \$3000

Amount Funded: \$3000

Grantor: Center for European, Russian, and Eurasian Studies

Focus: Research on Soviet and Russian patents with students from Moscow State University

Other: IPPSR Michigan Applied Public Policy Research Grant

Date Submitted: Fall 2010

Amount Requested: \$21,734

Amount Funded: \$21,734

Focus: Household finance in Michigan during the Great Recession and recovery

Commentary on Accomplishments
Lisa D. Cook

A welter of colors and textures woven into a new coherent tapestry would be one way to characterize my tenure at Michigan State University as the first tenure-stream faculty member jointly appointed in James Madison College and in the Department of Economics. The primary mission of James Madison College is to give exceptional training to exceptional and highly-motivated undergraduates interested in public policy and international affairs. The primary mission of the Economics Department is to produce exceptional research. The two units are highly demanding in executing their missions, which means that weaving this tapestry has meant weaving together fairly disparate threads.

This experiment in the cross fertilization required to create such tapestry has been simultaneously a rich challenge and an important opportunity. At James Madison, one principal goal has been to increase the probability of success in increasingly quantitative jobs and a wide variety of graduate and professional programs. Related goals were to infuse more economics research into the curriculum and to generate more interest in advanced studies in economics. In Economics, my principal goal has been to integrate the talent, motivation, and interest in public policy and international relations of Madison students into the classroom to raise the level of engagement and probability of success in admission to and participation in graduate school in economics. I think I have made significant progress towards completing a rich tapestry, with a pattern guided by these goals, through teaching, advising, service, and research.

*Statistical thinking
will one day be as necessary for efficient citizenship as the ability to read and write.*
— H.G. Wells

Teaching and Quantitative Analysis

Graduate and professional programs in which James Madison students are traditionally most interested have significantly raised their expectations related to quantitative training in the last 15 years. These programs include doctoral programs in political science, sociology, public policy, and international relations; law school; business school; and public policy school. Drawing on my experience as a faculty member at Harvard's Kennedy School of Government and given my collaboration with Harvard Business School, I have attempted to bring economics and statistical training more in line with the emerging expectations of these graduate and professional school programs. First, I requested the adoption of Stata, the statistical software now widely used in social-science research, for MC 295 (Research Design and Quantitative Methods) and MC 364 (Policy Analysis and Program Evaluation) for the first time. Simultaneously, I also introduced skills, such as linear regression analysis, that would be useful in other classes in James Madison and at MSU, as well as in preparation for advanced study. In addition, I introduced exercises and research from economics content that were more in line with preparation for graduate study, such as incorporating

regression analysis in student research and readings from economics journals in MC 492 (Affirmative Action Around the World), MC 221 (The Politics of International Economic Relations), and MC 364.

Initially, this approach was not enthusiastically embraced by students, and I was met with some resistance. Nonetheless, in addition to coaching and encouragement from senior colleagues, such as Jonas Zoninsein, and my formal mentors – Norm Graham, Bryan Ritchie, and Ross Emmett – I was able to integrate this material more comprehensively into syllabi. Moreover, I took advantage of three exogenous events to create or leverage teaching opportunities. First, while the human and other tolls it has taken have been deep and sweeping, the economic and financial crisis captured the imagination of students interested in public policy. Students expressed their gratitude that I incorporated material on macroeconomic policy and economic history early in my time at MSU and that I was willing to take a risk and change the syllabus in the middle of the semester to accommodate students' growing curiosity about macroeconomic and financial events, whether in MC 221 or in EC 402 (Advanced Macroeconomics). Second, the quantitative training students have before arriving at Madison has changed dramatically. [REDACTED] students out of roughly 25 students in my first MC 295 course in the fall of 2005 knew how to use the Excel software program. By the fall of 2010 when I taught MC 295, only [REDACTED] but of approximately 25 students did *not* know how to use Excel. I leveraged this enhanced preparation to begin using Stata earlier and to free up time for other material in MC 295 and MC 364. Third, since 2005, there is more communication between students and recent graduates who have entered graduate and professional programs. Through this grapevine, current students have gained more exposure to uses of the tools introduced in the methods courses and are more open to and grateful for this training.

On the Economics side, I have actively recruited JMC international relations students interested in development to take development economics courses, especially EC 414, the Economic Analysis of Sub-Saharan Africa. The students' international relations background and interest were helpful in executing the syllabus and in raising the level of discussion and general engagement among students. By the last time I taught EC 414 in spring 2011, for the first time in one of my economics courses, [REDACTED] which included graduate and undergraduate students. Integrating JMC students in development courses has also happened by combining an honors option offering for MC 221 and EC 402 students. The joint Honors Option was designed to reveal not only the origins of the economic and financial crisis emerging in 2008 but also the political-economy dimensions of monetary policy, which was beyond the scope of either course but became very salient as the crisis in 2008-9 unfolded.

Finally, my experience working at the President's Council of Economic Advisers during the 2011-2012 academic year has been woven into and invigorated both new and existing courses. For MC 364 and MC 492 (The Political Economy of New Capitalism), this has translated into providing many more tools, skills, research, and data sets to students. For MC 492 and for PPL 891, Finance and Public Policy, this has contributed to development of the course itself and course content. For example, as the person in charge of the President's morning briefing on the euro-zone crisis, I had to become very familiar with data, analysis, academic and government research, and international organizations related to the crisis. Much of this material is now being treated in a systematic way in these courses.

Teaching More Broadly

While the tapestry is ever evolving, its colors and patterns have become more recognizable. In general, I have attempted to continuously align teaching practices and objectives with desired student learning outcomes. This can be best illustrated with four examples.

One element of my general approach to increase student understanding is following a course schedule of broaching the large, philosophical questions pertaining to the course, ensuring that students have the tools to address these questions, and re-posing these questions at the end of the course. In MC 492 (Affirmative Action Around the World), many students were taken aback when I started the course questioning whether affirmative action policies for women and minorities were relevant or needed. It turned out to be an effective tool as evidenced by the students' increasing ability or willingness to critically evaluate arguments in the reading materials, whether John Rawls or Martin Luther King, Jr. By the end of term, this was also evident from the content included in papers they wrote about affirmative action in Brazil, Malaysia, and other countries for which they had to probe this question in each context. Motivated by the financial and economic crisis and countries' adoption of indices of happiness, in MC 492 this fall (The Political Economy of New Capitalism), on the first day I asked what economies are supposed to fundamentally deliver to citizens and whether economies can produce happiness. In the penultimate class period, we will ask this question again. Further, to reinforce and extend what they learned since the beginning of the course, we will examine how this can be measured and, thus, how leaders can be held accountable for happiness and well-being.

A second element is adding historical context to increase students' understanding of the material. Given my research interest in economic history, I have used this and history more generally to provide background for the readings. I used this on several occasions in MC 202 (Introduction to Public Affairs II), which focused on religion and on France, India, Turkey, the European Union, and the United States. When covering the role of religion during and after Reconstruction in the United States, I created a Civil Rights timeline to give students a sense of the evolution of religious discourse from freedom-related spirituals used during the time of slavery to King's "I Have a Dream" speech. When reading Edward Luce's *In Spite of the Gods: The Rise of Modern India*, I collected and presented time-series data demonstrating Indian progress from economic-growth to literacy rates to give students a backdrop for the changes in the country and in the religious landscape they were reading about in the text. In both cases, students appeared to have better recall and a better grasp of the course material when put into greater historical context.

Another element is energetic, intensive interaction using the Socratic method in class to raise the level of in-class discussion and, ultimately, writing. I must admit that every component of international relations theory and sampling issues in statistics is not naturally interesting. In addition to motivating topics, which I have learned to do more richly in the last seven years, during class discussions I engage in the give-and-take exercise of questioning or restating the student's argument and having the student and class carefully listen to and critique it. There was initial ambivalence about this *modus operandi*, since students sometimes felt insecure or vulnerable and did not want to be perceived by peers as being wrong. Within any given semester, students ultimately accept my class as a safe place in which to publicly test the logic and evidence of their arguments, and their classmates and papers benefit from this lively but disciplined exchange. In most courses, a formal debate is scheduled toward the end of the semester such that students can solidify and demonstrate their newly-honed skills.

Finally, I consider group work central to student learning and engagement. Students often underestimate how much they can learn from each other. Not only do students interpret material differently, have different perspectives, and have different levels and types of preparation, they also learn in different ways. Hearing a principle I just taught reinterpreted by fellow students in the course of a group exercise has proven to be an effective channel of learning for students. Such sharing and learning happen constantly during lab exercises in MC 295 and MC 364, but they are not limited to these courses. In addition, being able to function in groups is critical in the graduate programs our students are interested in, especially law, business, economics, and public policy. An added benefit of group work is to increase the likelihood of success of our students in these settings and, for me, to be able to speak to their ability to work in groups in recommendations for these programs.

Advising

Advising has been an important and prominent thread woven in the Madison-Economics tapestry. My efforts in this regard rest on three pillars.

First, I have actively encouraged Madison students who have expressed an interest in economics to adopt it as a second major. Some of these I have encouraged to seek admission to top programs. For the first time since my arrival and possibly since Carolyn Moehling, an associate professor of economics at Rutgers, was a student at James Madison, [REDACTED]

Second, I have advised graduate and undergraduate research. Among graduate students, this has been as a member of dissertation, thesis, and guidance committees. This role has also been assumed in the course of working with graduate students as research assistants on National Science Foundation, National Bureau of Economic Research, and other grants, as well as in coauthoring relationships with various students. Among undergraduate students, research has proven to be a channel through which students seek advice. Not only does this pertain to the research at hand, but it also extends to courses, careers, and graduate programs.

Third, I have leveraged being a Truman and Marshall Scholar and a Rhodes state finalist to work closely with Truman, Rhodes, and Marshall candidates from James Madison. This involvement includes advising them at every stage – prior to application, during the application process, during the interview process, and once at a British university.

Service

Service to James Madison College

Currently, I am serving on the Social Relations and Policy Search committee. Previously, I have served on the Diversity Coordinator Search committee and the Climate Survey committee. I have had a number of field experience students writing on a variety of topics, mainly related to economics or business field experiences.

Extracurricular activities with students have varied. I participated in and helped the JMC Senate to organize an undergraduate conversation on social media, which was sparked by the "Arab Spring" or "Jasmine Revolution." I coordinated with the JMC Senate to organize a book signing and lecture with Dr. Steve Radelet, Chief Economist of USAID and [REDACTED] which was both a development opportunity for the College and a career-counseling opportunity for the students. I coordinated with the College and with the African Studies Center to bring the State Department's Assistant Secretary for African Affairs, Dr. Jendayi Frazer, to give talks at James Madison and at the African Studies Center and to meet faculty to discuss research. In general, I have been active in suggesting and bringing speakers to the College who bring their own scholarship to their jobs and who are examples of non-academic careers in public affairs and international relations.

Importantly, in the course of my research, I have also created research-assistantship opportunities on my research projects for Madison students. Funding from external sources, such as the National Science Foundation and the National Bureau of Economic Research/Bill and Melinda Gates Foundation, as well as internal sources, has made this possible. [REDACTED]

Service to the University

My service to the university has entailed serving on several university committees: the University Committee on Faculty Affairs, the Undergraduate Committee for Academic Policy, the African Studies Center Advisory Committee, the Robert F. Banks Award for Institutional Leadership committee, and the Marshall, Rhodes, and Truman scholarship committees. I have also served on a number of thesis and dissertation committees: an honors thesis committee (Political Science), four master's thesis committees (Development/Agricultural Economics), and two dissertation committees (Development/Agricultural Economics). I have participated in the Graduate School Fair and served as a moderator for the Undergraduate Research Showcase sponsored by the GenGen. This year, as in most years I have been at MSU, I am serving as a mentor in the Humphrey Fellows Program.

I have given seminar and brown-bag presentations, participated on panels, and collaborated with other departments. Among the talks I have given have been in the Economics Department, the Center on European, Russian, and Eurasian Studies, and the Philosophy and Development Colloquium in the Philosophy Department. I have also participated in roundtables with MBA students on the financial crisis and with Honors Students about education and economics. I made a presentation and led a session at the MSU Race Conference in 2009. I have established and maintained cross-campus collaboration with various units, including MSU Extension, Agricultural and Natural Resources, and the business school's Center on Venture Capital, Private Equity, and Entrepreneurial Finance.

Service to Economics Department and College of Social Science

For the five years, I have been a member of the Development Economics Field Exam committee and have served on graduate student guidance committees in the Economics Department. As is the case for undergraduates, my grants have provided research assistant opportunities for graduate students since 2008. Most of my training of graduate students outside the classroom has come from these research-mentoring opportunities.

Over time, service to the College of Social Science has also been varied. I was invited to present my research, "Chinese Investment in Africa," to a visiting delegation of Chinese academics and administrators with whom the College of Social Science is hoping to collaborate. I also hosted a local TV station in my classroom as a part of a news story on the College of Social Science.

Service to the Economics Profession

Since 2009, I have served as an Associate Editor of *Feminist Economics*. Otherwise, I have been a reviewer for the two leading field journals in economic history, the *Journal of Economic History* and *Explorations in Economic History*, and a number of other economics journals, and the leading university press for the economics profession, MIT Press. I have been selected as a reviewer for two National Science Foundation programs related to science and innovation policy. Further, I have been one of few junior faculty selected to participate in significant national and international discussions on the future of patent data, including at the Rockefeller Foundation Center in Bellagio, Italy and at the U.S. Patent and Trademark Office, both of which were partially sponsored by the National Science Foundation. Based on my research on Soviet patents and science, I was asked to be the representative of the Economic History Association to the NASA committee of the American History Association and was selected to chair a session at the selective, invitation-only Cliometrics Society meetings, which are also sponsored by the National Science Foundation.

Service to the Country

Due to my 2009 article that appeared in our leading economics journal, the *American Economic Review*, I was asked to testify before Congress on the U.S. trade relationship with Africa. Specifically, in June 2009, I testified before a Joint Hearing of the Subcommittee on Commerce, Trade, and Consumer Protection of the Committee on Energy and Commerce and the Subcommittee on Africa and Global Health of the Committee on Foreign Affairs of the House of Representatives. Based on my work and research on financial institutions and crises, I was asked to serve on President-Elect Obama's transition team to uncover the reasons and suggest policy for the international dimensions of the economic and financial crisis of 2008-9. During the 2011-2012 academic year, I was selected and served as a Senior Economist on the President's Council of Economic Advisers. I am only the second faculty member from MSU to serve in a senior position at the Council of Economic Advisers.

Research

Why and how do institutions matter for economic growth? My research agenda examines this question that has witnessed a revival of interest among economists in the last two decades. Not only has this line of research been recognized twice in the last 14 years for its contributions to the field of economics in the form of Nobel Memorial Prizes in Economics, but a new field has emerged in the form of New Institutional Economics.

My contributions in responding to this question have evolved along two dimensions – topics and data to address them. Specifically, my contributions focus on the institution of property rights and their role in economic growth using unique data. Institutions such as contract enforcement and limits on expropriation by the executive have been shown to covary with growth. Lack of personal security and poor enforcement of the rule of law have been shown to be negatively correlated with growth. This work draws on insights from three subfields of economics – growth and development, economic history, and the economics of science and innovation. To execute this research I collect and analyze unique and varied data. These data range from newly available records from the Soviet and East German patent offices to data on riots, lynchings, and segregation laws in the U.S. in the late 19th and early 20th centuries to a first-ever constructed data set of African American and women patentees in the U.S. to little-known data from the Garrett Morgan Papers and the Confederate Patent Office.

My work is also distinct, because it draws on my personal experience as an adviser to governments on economic policy during my year at the Council of Economic Advisers and as a postdoctoral researcher at Harvard University. As a former adviser to senior government officials in the U.S., Nigeria, and Rwanda who focused on finance and innovation, I understand at a fundamental level the importance of incentives, private property, personal security, contract enforcement, and intellectual property as inputs in economic growth. My work also draws on my interest, training, and knowledge of six languages and in physics to access data in other languages and to understand technical documents. The breadth and depth of these advising and other experiences gain me unusual access to people and data and will continue to do so in future research.

Institutions, Invention, and Economic Growth

One of the first questions I examined has become the *leitmotif* of my research – addressing the relative importance of all property rights and intellectual property rights.

“Violence and Economic Activity: Evidence from African American Inventors, 1870-1940,” a paper I have been invited to revise and resubmit at the *Journal of Economic Growth*, epitomizes my approach of seeing the old problem of economic growth through a new lens and marshaling new data for this purpose. Does conflict affect growth, or does growth affect conflict? This is a matter of longstanding debate in the growth literature. Among others, the answer to this question would be of great importance to economists and policymakers interested in learning whether to end a civil war or to increase economic activity is the priority for countries. I answer this question with a number of unique contributions.

First, because there are no direct measures of economic growth available by race for this period, I employ patents as a proxy for economic growth, because they represent commercial transactions.

Annual censuses of firms, which would measure of economic activity through business formation and which would match yearly changes in laws, policies, and practices, are not available for this period, and, at a minimum, some commercial transaction transpired in the process of patenting, e.g., with a patent attorney or agent, which is informative. Second, the paper takes a novel approach to representing the property-rights environment in estimation. The property-rights environment is captured by lynching activity in a given state for a given year. That is, increases in extra-legal activity imply reductions in property-rights protection for the targeted group and for the rule of law, more generally. Riots and segregation laws are also used in estimation. Third, to execute this research I created the most comprehensive database of African American patentees to date. This is significant, because race is not recorded in patent data, and I devised a creative means of teasing out African American inventors in patent data. An index of distinctively black names was created using the 1880, 1900, and 1920 censuses, and historical records, such as obituaries and surveys of patent attorneys, were used to obtain names to match to patent records. This research represents the first time the activities of these inventors were analyzed systematically.

The evidence suggests that changes in activity related to violence can have a noticeable negative effect on patent, and hence growth, outcomes. Further, this result implies that the primacy of intellectual property rights over other types of property rights, a common view among economists of science and innovation, is overstated. Other property rights, such as that of personal security, are also critical in eliciting responses that would increase the flow of new ideas and higher standards of living.

Not only has this work been of interest to scholars in various subfields of economics and in other fields, two data sets have been created to be used by other researchers. The African American Inventors data set, described in an article under review at *Science* and in my paper published in *Explorations in Economic History*, is the basis of a National Science Foundation grant and the subject of an invitation for collaboration by the Smithsonian Institution. The process of creating a national lynching data set, which has been elusive in the past, is treated in a paper just published by *Historical Methods*. Lynching is being increasingly used as an explanatory variable rather than an outcome variable, e.g., Fryer and Levitt (*Quarterly Journal of Economics*, 2007). This data set has been requested and used by other researchers and linked to related research.

I also examine the relation between institutions and economic growth using more contemporary data. The incentive role of intellectual property rights is an open research question, although many economists of science and innovation emphasize its centrality. I again question the primacy accorded intellectual property rights relative to other incentives using an experiment in economic history. Specifically, in a paper in advanced stages of revision at the *Journal of Economic History*, I ask one of the fundamental unresolved questions in the literature: Can robust inventive activity exist without patent rights?

In modern times, market economies would be inappropriate for this investigation, since they generally extend patent rights to inventors. To navigate this problem, I use the laboratory of socialist economies, which generally do not extend patent rights to resident inventors. Most inventive activity in the U.S.S.R. was in the form of inventor's certificates, which recognized authorship but did not offer control rights. In response to the specter and realization of technological slowdown, from the early 1960's through the end of the Soviet era, Soviet authorities conducted a series of market-like experiments to provide incentives for individual inventors to increase inventive activity. Among the incentives were prizes, bonuses, promotions, housing

privileges, and the opportunity to obtain patents abroad. In addition to their patent rights being protected abroad, Soviet inventors could rely on the U.S. Patent and Trademark Office to determine the originality of inventors' ideas, which its Soviet counterpart was not charged to do.

This first systematic compilation and analysis of data on Soviet inventors' domestic and foreign inventive activity between 1959 and 1991 shows that domestic inventive activity increased over time and, per person, was higher in the U.S.S.R. than in the U.S. for much of the late Soviet period. More surprisingly, I find significant technological flows in the form of patents from the Soviet Union to the rest of the world. The analysis also shows that both domestic and foreign inventions reflected individual effort. The evidence implies that Soviet incentives targeted at increasing individual initiative among inventors, and therefore inventive output, were more effective than previously thought and more effective when the outcomes were patents than when the outcomes were inventor's certificates.

While a plethora of institutions from the patent system to contract enforcement supports invention and its commercialization, institutions, policies, and practices can also harm invention and innovation, the commercialization of invention. As has been recently demonstrated, excessive patent litigation or "patent trolling" separates inventors from each other. How can institutions, policies, and practices that harm invention and innovation be refined or their effects minimized to better promote invention and innovation? I address these questions in several papers.

Social networks can help. A large literature attempts to explain the importance of rich social ties related to innovation and the institutions that support them, e.g., among Chinese and Indian inventors and in the U.S. during the early 1800's. The paper "Inventing Social Capital: Evidence from African American Inventors, 1843 to 1930," probes what happens in the absence of rich social networks related to the practice of invention and innovation. In the tradition of Khan and Sokoloff (*Journal of Economic History*, 1993), Lamoreaux, Levenstein, and Sokoloff (*Capitalism and Society*, 2006), and Thomson (Johns Hopkins University Press, 2009), I examine social networks of invention and compare the social networks of African American "great" or prolific inventors to prolific white inventors. This research shows that African American inventors historically leveraged much larger, and often more tenuous, networks to innovate than their white counterparts from patent application to sales of manufactured goods derived from their inventions. Importantly, these larger networks were largely unrelated to innovation. Another paper, published this summer in Harvard Business School's *Business History Review*, explores this phenomenon in depth using data from the papers of Garrett Morgan, the inventor of the modern traffic light and gas mask. With the rise of discrimination by consumers following the *Plessy v. Ferguson* Supreme Court decision and subsequent state laws promoting segregation throughout the North and South, this paper shows that inventors affected by this change used religious, civic, business, and inventive networks, along with unconventional advertising, devices, and arrangements, to overcome discrimination and sell their innovations.

Policy can help. A paper, which is under review at *Science* and is also the basis of a grant from the National Science Foundation, extends the data to women inventors and introduces the notion that policies and practices in the public and private sector may influence patent outcomes by minorities and women. From this paper and others, e.g., the work of Jennifer Hunt (National Bureau of Economic Research, 2010 and 2012), there is increasing evidence that engineering programs, the source of many patentees, may differentially depress patenting outcomes among women. My paper

also finds that mixed-gender teams are more prolific with respect to commercialization than single-gender teams, which may suggest a role for policy, such as the implementation or continued promotion of targeted postdoctoral programs instituted by AT&T (Bell Labs) and NASA that promoted integrated patent teams. A next question in this research agenda supported by the National Science Foundation relates to lower commercialization rates among women and minorities and whether there is a role for policy in increasing them. This line of research raises the fundamental question of how patent and commercialization teams are formed, and I anticipate pursuing this question in the near future.

Evidence from two papers using patent data from the Soviet period is suggestive that policy affecting individual inventors can have both positive and negative outcomes. The aforementioned paper using Soviet patent data demonstrates that market-like policies to increase invention and innovation were most successful in promoting invention when patent rights were clear, i.e., when patenting abroad. In a new paper "Bad International Relations but More Science? Soviet Technological Spillovers and the Boycott of the 1980 Moscow Olympics," [REDACTED] and I examine the impact of the boycott of the 1980 Summer Olympic Games in Moscow on these patents obtained abroad by Soviet inventors. The analysis in this paper is suggestive that this political event produced a dramatic decline in patenting in countries adhering to the boycott and a subsequent rise in patenting in countries not adhering to the boycott. In one country, East Germany, the switch is particularly pronounced, and there is an appreciable increase in the level of cooperation on patent teams between Soviet and East German inventors, something that was difficult to achieve prior to the boycott. Separately, there was a noticeable change in the direction of patenting by Soviet inventors who switched to patenting in East Germany. The share of chemical patents obtained by these inventors increased relative to other technological categories. The contribution of this new research not only sheds light on our understanding of the process of innovation but also extends to the field of political economy.

Large and fast-growing emerging markets, such as Brazil, Russia, India, and China, have often defied our understanding of how market economies function in a number of fundamental ways. Their property-rights environment is often poor, but their recent growth appears largely unbounded. Is economic growth sustainable under these conditions? As these countries move up the trade value chain and look for opportunities requiring more high-value inputs, like patented designs, producers and policymakers will need to consider more critically their typical opposition to greater intellectual-property-rights protection, e.g., regarding vaccines for infectious diseases. Which conditions prompt developing countries and emerging markets to adopt intellectual-property-rights protection and other institutions to enhance or sustain economic growth?

With [REDACTED] I have examined the case of ethanol production in Brazil to shed light on these questions. Specifically, in a recent working paper we study whether intellectual property rights were increasingly being adopted and enforced in Brazil due to supply considerations, i.e., compliance with WTO rules, or due to demand considerations, i.e., high-value ethanol production and exports. We execute several tests to determine causality and find that demand-related factors, namely increases in ethanol exports, explain the adoption of a credible intellectual-property-rights regime. This is an important finding. Developing and developed countries have often been at odds about the protection of intellectual property. With more robust international engagement through trade, it appears that their incentives can become more aligned and that they may be able to better exploit gains from trade.

Beyond Institutions for Invention and Innovation

My work has also examined institutions not directly related to invention and innovation but related to economic growth. The *American Economic Review* article, "Metals or Management? Explaining Recent Economic Growth in Africa," focuses on explaining Africa's growth spurt after the year 2000. In this research Laura Beny and I use World Bank and other data to evaluate two competing hypotheses. Do better institutions, including policies and practices, from years of economic reform or higher commodity prices explain more of the variation in growth rates in African countries? Our analysis shows that both institutions and commodity prices were important factors in explaining increased rates of growth in African countries through 2007.

Cook and Sachs (Oxford University Press, 1999) demonstrate the importance of international institutions to provide regional public goods to enhance growth and development outcomes. Our empirical investigation found that regional entities, such as the African Development Bank, had a poor record of doing so. In addition, the World Bank program against river blindness in 11 African countries notwithstanding, the evidence also suggested that the World Bank, which has the authority and capability to provide regional public goods, also underprovided regional public goods.

Another paper analyzes the effect of stronger institutions on the banking system in Nigeria since 2005. While I find that enhanced institutional development stabilized and grew the banking system, policies and practices related to corporate governance threaten to undermine the banking system and, by extension, economic growth and living standards. This NBER Working Paper will be published in the forthcoming NBER *African Successes* volume.

Future Research

Research in the next two to five years will be based on using or extending existing data sets and research and on completely new lines of inquiry. I can illustrate with five different examples.

Data collected for the Soviet patent papers also include Russian patent data from the post-Soviet period. One project will explore whether the traditional determinants of invention and innovation apply in the post-Soviet period when there has been significant patent reform but where the property-rights environment is relatively weak. Another project will match pre- and post-Soviet patent and invention data to Israeli patent data to understand the microfoundations of Israel's innovation miracle. In particular, this investigation should aid in settling the debate about whether spillovers from the Israeli defense industry and Israeli investment in R&D or a one-time endowment of high-skill immigrants from the U.S.S.R. was the primary factor contributing to Israel being dubbed the "startup nation." For economists, this line of research is important as a potential application of Romer's and subsequent economists' theory of endogenous growth. For policymakers, determining which policies contributed most to a particular innovative and growth outcome would be of great interest.

When comparing property-rights regimes over time, as I have done from Tsarist to post-Soviet Russia, and across countries, a larger theoretical question worth investigation emerges. Can modern market economies develop with permanently "missing institutions"? Gerschenkron's (Harvard

University Press, 1962) term referred to the institutions needed for a functioning market economy that had not yet appeared in the early stages of economic development in Tsarist Russia and in whose absence the state would need to assume a compensatory role. During the Tsarist period and in Russia's new market economy, contract and intellectual-property-rights enforcement and elements of the financial system have been outsourced to other countries, such as the United States and the United Kingdom. My past and current research suggests that Gerschenkron's hypothesis deserves reassessment, given the abundance of evidence available in the 50 years since the publication of his seminal work. I am looking forward to undertaking such a reevaluation of the theory of "missing institutions."

Many research questions remain for me and for other researchers in examining the data set of African American and women inventors. What are the precise mechanisms leading to much lower patent outcomes by women and African Americans relative to the inventing population and higher relative rates of commercialization? The Patents and Ghettos project will examine the extent to which patent and commercialization productivity is related to residential segregation, i.e., opportunities to interact with collaborators beyond a professional setting.

Research using lynching data has increased among economists and other social scientists. The *Historical Methods* paper sets out the agenda for creating a national lynching database, which includes verifying data for several states. Once this data set is complete, several issues of interest may be more precisely and comprehensively addressed. In the spirit of Acemoglu, Johnson, and Robinson (*American Economic Review*, 2001), did historical regional variation in the property-rights environment in the U.S., as measured by lynchings, influence regional variation in growth, innovation, business-formation, education, property ownership, and other economic outcomes? A complete and confirmed data set from all states would be important in answering such a question.

Finally, there is an active debate in the literature concerning the effect of distinctively black names on economic outcomes. Bertrand and Mullinathan (*American Economic Review*, 2004) find that black names have a negative effect on labor-market outcomes. In contrast, Fryer and Levitt (*Quarterly Journal of Economics*, 2004) find that black names have no effect on labor-market outcomes once controls for social and economic factors are taken into account. Trevon Logan, John Parman, and I are collaborating to contribute to this debate. In particular, we believe that naming conventions are time-varying and that this line of research should consider black names that existed before the Civil Rights era of the 1960's. While the index of black names I created in 2004 to identify African Americans in patent data was of limited use for the population of patentees (most did not have distinctively black names), with co-authors, I am establishing that there were historical, pre-Civil-Rights-era black names, which has never previously been established in the literature. We have also linked these names to North Carolina death certificates and validated the existence of these names. Further, this linkage suggests that those with black names lived one to two years longer than their African American contemporaries without black names. While the first paper, "The Long-Term Consequences of Black Names," establishes the existence of distinctively black names historically, in future work we plan to link these data to census, property, veterans', and other data to uncover the effect of black names on a wide range of economic outcomes.

Lisa D. Cook

110 Marshall-Adams Hall
486 W. Circle Drive
Department of Economics
Michigan State University
East Lansing, MI 48824
(517) 432-7106

Room S369L
842 Chestnut Road
James Madison College
Michigan State University
East Lansing, MI 48825
(517) 432-1838


www.msu.edu/~lisacook

Education

1991 - 1997 University of California, Berkeley

Berkeley, CA

Ph.D., Economics, NSF Fellowship

Fields and Research Interests: Macroeconomics, Development, Money and Banking, Economic History, Technology and Innovation, Political Economy

Dissertation: "Three Essays on External and Internal Credit Markets in Tsarist and Post-Soviet Russia"; Barry Eichengreen, Advisor; Gregory Grossman, Dwight Jaffee, and David Romer, Committee Members

Internships: Federal Reserve Bank of New York, World Bank, Salomon Brothers, Brookings Institution

1988-1989 Université Cheikh Anta Diop de Dakar

Dakar, Senegal

Master's Thesis, Philosophy

1986 - 1988 Oxford University

Oxford, England

B.A., Philosophy, Politics, and Economics, Marshall Scholar

1982 - 1986 Spelman College

Atlanta, GA

B.A., Philosophy (honors, magna cum laude)

Employment

2005 - Michigan State University

East Lansing, MI

Assistant Professor, Department of Economics and James Madison College

2011 - 2012 Council of Economic Advisers

Washington, DC

Senior Economist - International Finance, Entrepreneurship, Innovation

2002 - 2005	Stanford University	Stanford, CA
<i>National Fellow, Research Fellow, Hoover Institution</i>		
1997 - 2002	Harvard University	Cambridge, MA
<i>Visiting Assistant Professor, Kennedy School of Government; Deputy Director, Africa Research, Center for International Development; Faculty, "Making Markets Work," Harvard Business School</i>		
2000-2001	U.S. Treasury Department	Washington, DC
<i>Senior Adviser on Finance and Development, Council on Foreign Relations International Affairs Fellow</i>		

Research

Publications

"Overcoming Discrimination by Consumers during the Age of Segregation: The Example of Garrett Morgan," *Business History Review*, Volume 86, Issue 2 (Summer 2012).

"Converging to a National Lynching Database: Recent Developments and the Way Forward," *Historical Methods*, Volume 45, Issue 2 (March 2012).

"Inventing Social Capital: Evidence from African American Inventors, 1843-1930," *Explorations in Economic History*, Volume 48, Issue 4 (December 2011), pp. 507-518.

"Metals or Management? Explaining Recent Economic Growth in Africa," *American Economic Review*, 99(2): 268-74 (May 2009), with Laura Beny.

"The Next Battleground in the Terror War," *Hoover Digest* 2004, No. 1.

"Now the Hard Part," *Hoover Digest* 2003, No. 2.

"Trade Credit and Bank Finance: Financing Small Firms in Russia", *Journal of Business Venturing*, Volume 14, Numbers 5-6, (1999) pp. 493-518.

Papers under Review

"Violence and Economic Growth: Evidence from African American Patents, 1870-1940," 2009, Michigan State University, revise and resubmit, *Journal of Economic Growth*.

"A Green Light for Red Patents: New Evidence from Soviet Innovation Abroad, 1933 to 1991," Michigan State University, 2010, revise and resubmit, *Journal of Economic History*.

"The Financial and Economic Crisis: Implications for Consumer Finance and for Households in Michigan," 2011, Michigan State University, conditional acceptance, *Journal of Consumer Education*.

"The Idea Gap in Pink and Black," with [REDACTED] NBER Working Paper No. 16331, September 2010, under review, *Science*.

"Were the Nigerian Banking Reforms of 2005 a Success...And for the Poor?" July 2010, NBER Working Paper No. 16890, forthcoming in NBER volume *African Development Successes*.

Other Working Papers

"The Long-Term Consequences of Distinctively Black Names," with Trevon D. Logan and John Parman, July 2012, presented at Harvard University and NBER Summer Institute.

"Bad International Relations but More Science? Soviet Technological Spillovers and the Boycott of the 1980 Moscow Olympics," with [REDACTED] May 2012.

"The Color of Lynching," Michigan State University, presented at the American Economic Association meetings, Chicago, January 2012.

"Under-adjustment to Extreme Macroeconomic Events? Evidence from Michigan Households during the Great Recession," October 2010.

"Is Intellectual-Property Protection in Developing Countries and Emerging Markets Driven by Supply or Demand? Evidence from Ethanol Production in Brazil, 1980 to 2008," with [REDACTED] Michigan State University, March 2010.

"Financial Crisis and Growth in Nigeria: Evidence from the Community Banking System," Stanford University, September 2003.

"Export Platforms in Tunisia", Center for International Development, Harvard University, June 2000 [Harvard Business School, "Making Markets Work"].

"Export Platforms in Ghana", Center for International Development, Harvard University, October 1999 [Harvard Business School, "Making Markets Work"].

Book Chapters

"The Euro Area Crisis and Its Implications for the United States," Chapter 5 in Alan Krueger, et al., eds. *Economic Report of the President*, February 2012.

"Small Businesses and the Recovery," Chapter 2 in Alan Krueger, et al., eds. *Economic Report of the President*, February 2012.

"Were the Nigerian Banking Reforms of 2005 a Success...And for the Poor?" July 2010, NBER African Development Successes Project, NBER Working Paper No. 16890, forthcoming in NBER volume *African Development Successes*.

"Does Government Help or Hinder Innovation?" in F. Scott Kieff and Troy Paredes, eds., *Commercializing Innovation*. New York: Cambridge University Press, forthcoming.

“Patents and Knowledge Spillovers to Developing Countries,” in Sisay Asefa, ed., *Globalization and International Development: Critical Issues of the 21st Century*, 44th *Werner-Sichel Lecture Series*, W.E. Upjohn Lecture Series. Kalamazoo: Upjohn Institute, 2010.

“The End of Serfdom in Russia and Lessons for Sudan”, chapter in Kwame Anthony Appiah and Martin Bunzl, eds., *Buying Freedom: The Ethics and Economics of Slavery*, Princeton University Press, 2007.

“Africa: A Union Open for Growth, Trade, and Business?”, *Global Competitiveness Report 2002-2003*, Oxford University Press, 2003.

Editor and Lead Author, *Africa Competitiveness Report 2000-2001*, World Economic Forum, Oxford University Press, 2001.

“Regional Public Goods in International Assistance” (with Jeffrey Sachs), *Global Public Goods*, Kaul, ed., Oxford University Press, 1999.

Book Reviews

Rayvon Fouché. *Black Inventors in the Age of Segregation*. Baltimore and London: The Johns Hopkins University Press, 2003, reviewed for *Journal of Economic and Economic History*, (2004), 64:3:900-902 Cambridge University Press.

Robert J. Norrell. *Up from History: The Life of Booker T. Washington*. Cambridge: Harvard University Press, 2008, reviewed for *Business History Review*, by Lisa D. Cook (Spring 2010)

Bruce Sinclair, ed. *Technology and the African American Experience: Needs and Opportunities for Study*. Cambridge, MA: MIT Press, 2004, reviewed for *Journal of Economic History*, (2004), 64:3:900-902 Cambridge University Press.

Ross Thomson, *Structures of Change in the Mechanical Age: Technological Innovation in the United States, 1790-1865*. Baltimore: Johns Hopkins University Press, 2009. xiv + 432 pp. \$68 (hardcover), ISBN: 978-0-8018-9141-0, reviewed for EH.NET by Lisa D. Cook (February 2010)

Research Projects

Patents and Economic Activity

Ongoing exploration of patent data as an indicator of economic activity and as an incentive for innovation using historical and current data from the U.S., the Soviet Union/Russia, and Israel; 2002 to present

Economic and Financial Crisis, Expectations, and the New Poor

New research to aid in measuring effects of the Great Recession on American households using survey evidence from Michigan households and to better predict future financial and economic crises; 2009 to present

The African American and Women Inventors and Patents Data Set. Stanford University, August 2003; last revised, November 2008; extended to women inventors, August 2009

Finance and Innovation (with Raoul Minetti)

Research focused on explaining patent booms and the effect of the adoption of new products and processes on bank finance using firm-level data in emerging markets and developing countries; 2007 to present

Financial Reform in Emerging Markets

An examination of the structure of and changes in financial institutions and markets in Russia and other emerging markets; 1995 to present

Nigerian Bank Reform and Poverty Alleviation, National Bureau of Economic Research, African Successes Program
A study of comprehensive bank reform from 2000 to 2005 and its effect on access to finance for the poor; 2009 to present

Chinese and Global Competitiveness

New and ongoing research on competitiveness and manufactured exports, including the relation between China's growth miracle and its investments (direct, portfolio, and aid) abroad, especially in Africa; 1998 to present

Grants and Awards

National Science Foundation, "The Idea Gap in Pink and Black," Science of Science Policy Program, May 2011 to December 2012; to study educational outcomes and incentives for innovation, including venture-capital funding to account for disparities in innovative outcomes among women and minorities

National Bureau of Economic Research and the Kauffman Foundation, Innovation Policy and the Economy Small Grant; Visiting Scholar, NBER, January to August 2009; to examine incentives for innovation, including to account for disparities in innovative outcomes among women and minorities

National Poverty Center, University of Michigan, Visiting Scholars Program, "Consumer Finance, the Financial Crisis, and the New Poor," May to August 2010; to examine the effects of the Great Recession on U.S. households using Michigan survey data

National Bureau of Economic Research and Bill and Melinda Gates Foundation, "Nigerian Bank Reform and Poverty Alleviation," NBER African Successes Project, 2009-2011

Harvard Business School Alfred Chandler Grant, "Historical Origins of Financial Crises," 2011-2012

Michigan Initiative for Innovation and Entrepreneurship Grant, Co-PI with Center for Venture Capital, Private Equity, and Entrepreneurial Finance at Broad School of Business

Institute for Public Policy and Social Research, Michigan State University, Research Grant, 2009-2010; for collection of data and research on Michigan households during the Great Recession

Vice Chancellor for Research, Michigan State University, Junior Faculty Research Grant

African Studies Center, Michigan State University, Research and Travel Grants

Center for Gender in the Global Context, Michigan State University, Curriculum Development Grant

Center for International Studies and Programs, Michigan State University, Research and Travel Grants

Center for Russian, European, and Eurasian Studies, Michigan State University, Research and Travel Grants

Prior to 2009

Marshall Scholarship, Oxford University

Economic History Association, Arthur M. Cole Grant

National (Post-Doctoral) Fellowship, Hoover Institution, Stanford University

National Science Foundation, Graduate Education

Ford Foundation (West Africa), Banking for the Poor

Council on Foreign Relations International Affairs (Post-Doctoral) Fellowship

Harvard Institute for International Development (HIID) Post-Doctoral Fellowship

American Economic Association Summer Research and Training Opportunity

American Economic Association/Federal Reserve Bank of New York, Graduate Summer Research Fellowship

Social Science Research Council Workshop in Transition, Graduate Summer Research Fellowship

Harry S. Truman Foundation Fellowship

Harry S. Truman Foundation Public Service Award

Charles E. Merrill Study Abroad Fellowship, Spelman College

Courses Taught or Developed

Macroeconomics, graduate and undergraduate, Michigan State University

Development Economics, graduate and undergraduate, Harvard University and Michigan State University

Money and Banking – Financial Regulation, graduate, Michigan State University

“Making Markets Work,” graduate (executive), Harvard Business School

International Relations, undergraduate, Michigan State University

Research Design and Empirical Methods for Public Policy, undergraduate, Michigan State University

Economics of Baseball, undergraduate (Truman Scholars Leadership Week), William Jewell College

Professional Memberships and Affiliations

American Economic Association

Economic History Association

Economic History Society (UK)

Institute for the Economy in Transition (Moscow, Russia)

W.E.B. DuBois Institute, Harvard University, Non-Resident Fellow, 2003-4

Michigan State University:

Core Faculty Member and Acting Assistant Director, Center for Venture Capital, Private Equity, and Entrepreneurial Finance, Broad School of Business

Core Faculty Member, Center for European, Russian, and Eurasian Studies

Core Faculty Member, Center for the Advanced Study of International Development

Core Faculty Member and Advisory Committee Member, African Studies Center

Faculty Mentor, Humphrey Fellows Program

Other Activities

Senior Economist, Council of Economic Advisers, The White House

Member, EHA Representative, NASA Committee, American History Association

Associate Editor, *Feminist Economics*

Referee: *Journal of Economic History*, *Explorations in Economic History*, *Oxford Economic Papers*, *Feminist Economics*, *Review of Black Political Economy*

Reviewer: National Science Foundation (various programs), MIT Press, Addison-Wesley Publishing

Obama Presidential Transition Team, Economics and International Trade; Team Leader, World Bank Agency Review, and Co-Team Leader, International Affairs, Treasury Department Agency Review

Visiting Researcher, Federal Reserve Bank of Philadelphia

Visiting Researcher and Dissertation Fellow, Federal Reserve Bank of New York

Spelman College Board of Trustees

Marshall, Gates Cambridge Trust, and Harry S. Truman Scholarship Selection Panels

Five-on-Five Basketball Tournament, James Madison College, Michigan State University (coach and player; tournament winner, Spring 2010)

Languages

English, French, Latin, Spanish, Russian, Wolof

Media and Other Appearances, Selected

Congressional Testimony:

“U.S. – Africa Trade Relations: Creating a Platform for Economic Growth,” Joint Hearing of the Subcommittee on Commerce, Trade, and Consumer Protection of the Committee on Energy and Commerce and the Subcommittee on Africa and Global Health of the Committee on Foreign Affairs, June 24, 2009 [based on *American Economic Review* (2009) article with Laura Beny]

World Economic Forum, Competitiveness, January/February 2002.

Detroit Free Press, The Michigan Financial Health Survey, <http://www.freep.com/article/20110508/COL07/105080424/Susan-Tompot-People-rarely-adjust-budgets-survey-finds>, May 8, 2011.

“Consumer Finance and Households in Michigan,” Family Impact Seminar for State Legislators, Michigan State Capitol (Lansing), 2009

WABC-AM “ON AIR” (Iraq and lessons from post-conflict economies,
<http://www.hoover.org/publications/digest/3057786.html>), New York, NY


BET “Tavis Smiley Show” (debt relief for poor and African countries), Washington, DC

Port Huron Times-Herald (2008 financial crisis,
<http://www.thetimesherald.com/apps/pbcs.dll/article?AID=/20080921/NEWS01/809210302/-1/NEWSFRONT2>), Port Huron, MI

WILS 1320 (Lansing), *The Tony Conley Show*. “Crisis in the U.S. Stock Market and Greek Debt,” 2010

WWJ 950 (CBS, Detroit), Michigan Money Summit, “Recent Findings from Research on the Foreclosure and Consumer-Finance Crisis in Michigan,” with Murray Feldman, 2010.

American Economic Association, Committee on the Status of Minorities, Profile,
http://www.vanderbilt.edu/AEA/CSMGEP/profiles/lisa_d_cook.htm



November 27, 2012

Dean Sherman W. Garnett
James Madison College
Michigan State University
East Lansing, MI

Professor Carl Davidson
Department of Economics
Michigan State University
East Lansing, MI

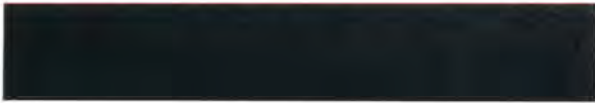
Dear Dean Garnett and Professor Davidson,

I am writing in response to your request to evaluate the scholarship of Lisa Cook, who is standing for promotion and tenure at Michigan State University. I have known Professor Cook for several years, having met her at several conferences and seminars, but there are no potential conflicts of interest in my evaluation. I am familiar with her work, and I read (or re-read) the papers included in the selection sent to reviewers.

Cook's research has centered primarily on the study of historical patent records, with an eye toward understanding the determinants of economic innovation. One major project developed a database of African American inventors—painstaking and original work—that has shed light on both the inventive activity of minorities and their response to changes in the economic and political environment associated with racially-motivated violence and insecurity. This has led to a publication in *Explorations in Economic History*, a leading economic history field journal, a revise-and-resubmit at the *Journal of Economic Growth*, and a related article in the *Business History Review*, the leading business history journal. An outgrowth of this research is a new compilation of data on lynchings (building on existing databases), described in her paper in *Historical Methods*. A separate project on patents focuses on invention in the Soviet Union—an economic system that economic historians will be trying to document and make sense of for decades to come—which has led to a revise-and-resubmit paper at the *Journal of Economic History*, another leading journal in the field. She has several other related and promising papers in the works, one of which I saw presented at the NBER this summer (on distinctively black names).

My overall impression of Professor Cook's research is positive. These are serious contributions to knowledge in areas where the existing base of evidence had been very thin. Because the base of evidence was so thin, Cook invested considerable time in developing new datasets. This is common in economic history, but it does tend to lead to long gestation periods for research publications. It seems that as the new data have come together, Professor Cook has successfully lined up several papers for submission and publication. The pipeline, and thus foreseeable research output, appears to be very robust. At the time of promotion and tenure, I am often interested in seeing whether a candidate has successfully differentiated himself or herself from graduate school advisors. From this perspective, Professor Cook has done well. Her work and her research agenda are very much her own creation.

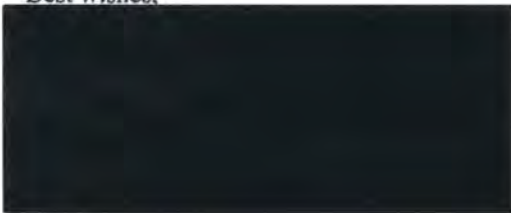
Your letter asks me to address two additional and specific points. First, you ask for a comparison with others in her cohort. Because Professor Cook's career path has taken her into and out of government service and other non-tenure-track appointments, it is not obvious what group of scholars should comprise

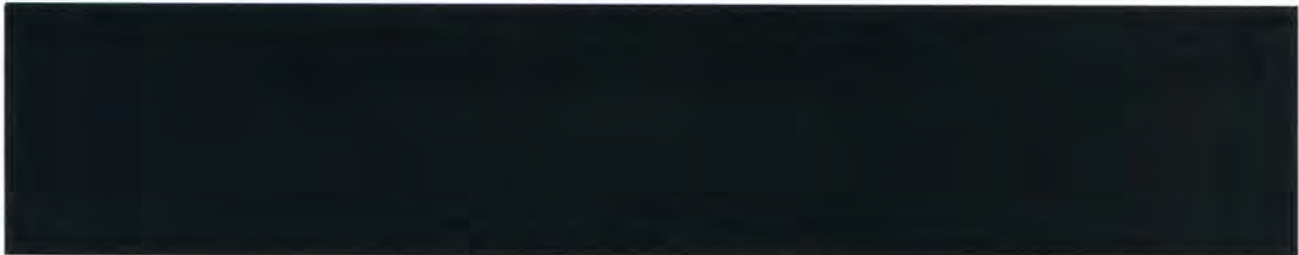


her cohort. So, I will compare her to others who are near the time of their tenure review and working in economic history. In comparison with this group, her work has been innovative, albeit slow to fruition for reasons discussed above. She has tackled difficult data collection projects and illuminated corners of economic history that had previously been dark, and for this I think she deserves much credit. In terms of quantity and quality of scholarship, I would say she has been less productive than, say, Petra Moser at Stanford (who also works on inventive activity in economic history). If Professor Cook's revise-and-resubmits go through at the *Journal of Economic History* and *Journal of Economic Growth*, I would say her record is pretty comparable to Trevon Logan's at the time of his promotion and tenure at Ohio State.

Second, you ask whether Professor Cook would receive promotion and tenure at my institution. This is somewhat difficult to evaluate because the nature of her appointment at MSU (split between James Madison College and the Economics Department) is unlike any arrangement we have here. If she were a regular tenure-track faculty member in the Department of Economics here, it is questionable whether her current publication record would suffice for promotion and tenure, despite having promising work in the pipeline. However, if we were to shift more weight toward teaching and service and away from quantity of research output (as seems to be the case in MSU's review process), then she would probably have a good chance. In any case, I can say, [REDACTED] that I would highly value her intellectual versatility and professional experience, which brings an added dimension to her scholarship and, I would assume, her teaching and mentorship of students. On balance, especially given the nature of her appointment at Michigan State, I support her promotion and tenure.

Best wishes,





November 20, 2012

Sherman W. Garnett
Dean, James Madison College
East Lansing, MI 48825-1205


Carl Davidson
Professor and Chairman
Department of Economics
Michigan State University
East Lansing, MI 48824-1038

I have known Lisa D. Cook for about [redacted] most frequently having met her at several conferences of [redacted]

[redacted] During this time we have had frequent discussions and I have read and commented on several of her published and forthcoming papers as well as on her work in progress. By now she has published seven articles, with at least five forthcoming, plus eight working papers and a book chapter.

The most interesting aspect of these publications has been the great diversity demonstrated, reflecting a wide range of topics and geographic areas covered. In these studies she has often drawn upon primary research in archival sources and prepared several new databases. Topics covered include: consumer discrimination in the postbellum South; lynching in the U.S. South; recent economic growth in Africa and among African-Americans; the growth of small firms in Russia; Soviet innovation abroad; patterns of patenting by African-Americans in the U.S., 1843-1930; aspects of the Soviet and U.S. patent systems; and Nigerian banking reforms. All are interesting and well-done presentations containing useful data and analysis. Her most recent project (with Trevon Logan and John Parman) has been analyzing the implications of different naming patterns of African-Americans and U.S. whites, based on primary data from various sources. The study is quite imaginative and has implications for the interpretation of the economic and social history of black Americans, and the nature of racism in America. Each of these articles makes a useful contribution to their subjects. As noted in her research statement, Cook gathers together several of her research projects as being related to the issue of property rights and institutions, particularly important in the various patent studies.

Cook has a rather unusual set of administrative-type work and as a grant recipient to accompany her solid academic performance, including serving as a senior economist for the Council of Economic Advisers, as a Senior Adviser on Finance and Development to the Council of Foreign Relations, and Deputy Director, African Research at the Kennedy School.




Recently she has been given fellowships at the Harvard Business School, and has been a Senior Fellow at The Hoover Institute, among other visiting fellowships. She has certainly been a most visible scholar and her work and skills have been widely recognized. Cook has a rather unusual record in publications and as a grant recipient. Her publications have been first-rate in dealing with important topics and her current research on naming patterns among African-Americans has already attracted some attention.

To answer your three questions:

1. Based on the quality and diversity of publications related to academic work, she ranks quite high among her cohorts;
2. I would expect her to receive tenure at schools that are peers for MSU;
3. The candidate has made interesting contributions to several economic questions and given the recent acceleration of her intellectual production, we will clearly expect more of such contributions in the future.

Yours truly,

A large black rectangular redaction box covers the signature and name of the sender. The text "Yours truly," is visible to the left of the redaction.



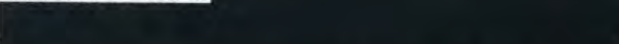
Sherman Garnett, Dean Madison College
Carl Davidson, Economics Dept. Head
Michigan State University
East Lansing, MI-48825-1205

November 30, 2012

Dear Dean Garnett and Professor Davidson:

In a letter dated October 16, 2012 you asked me to evaluate Lisa Cook's research as you decide whether to promote Dr. Cook to the position of Associate Professor with tenure at Michigan State University.

I first met Lisa at 

 I find her to be a congenial colleague and have enjoyed talking with her about her research and my own research. I believe that I can provide an unbiased and honest assessment of her research record.

Lisa is a good economic historian and economic policy analyst. Her work addresses interesting questions in history and policy. In each paper she develops new data sets that can be used in research on a variety of issues. She has conducted a survey of Russian firms in 1995, developed a large sample of African-American inventors over a long time period in a variety of states, compiled a very large sample of inventions in the Soviet Union over more than 40 years, and then helped develop a large panel data set of individual level death records. These new samples are all valuable because not only has Lisa used them effectively, but they also provide spillover benefits to other researcher who can use the samples to examine additional issues. In performing her own analyses on the samples, Lisa has used a variety of econometric methods--time series, panel models with fixed effects or random effects, and propensity score matching—to examine the issue.

In a 1999 paper Lisa performed a fascinating study of a sample of firms that she developed for a study of Russia in the late 1990s. The study examines access to credit for Russian firms as they dealt with the transition away from the old USSR economic system. Although scholars looking at the early 1990s found that Russian firms tended not to borrow from each other, the survey she performed suggested that firms often

received trade credit from their suppliers. She then uses a variety of econometric methods, including propensity-score matching, to show that banks were using trade credit as a signal for credit-worthiness. As a result, firms receiving more trade credit were much more likely to receive bank loans. Her findings were particularly useful because they suggested that inter-firm lending was important and useful to firms in ways at a time when many people were suggesting that Russian firms should avoid inter-firm lending.

While working at the Hoover Institute in Palo Alto, Lisa developed an interest in African growth. One of her interests was in the impact of commodity price changes and economic reforms on the growth rates in African nations. In the *American Economic Review Papers and Proceedings* in 2009 she runs a series of growth model regressions that shows that both commodity price increases and economic reforms contributed to increased growth rates in Africa. This is a useful addition to the literature because it gives a sense of the relative size of these two potential sources of economic growth.

Over the past several years Lisa has developed a research agenda centered on innovation and the success of minority inventors. Lisa's paper on social capital and the success of African-American inventors in *Explorations in Economic History* in 2011 is an example of very good economic history. The literature on innovation shows that the success of inventors is generally higher when they have been apprentices and/or had more advanced education. Many inventors gain from involvement with networks of other inventors in cities. Lisa documents the problems faced by African-American inventors, who had much less access to education, virtually no access to apprenticeships, and limited access to other inventors in areas where they grew up in the South. In impressive fashion she uses a variety of methods to develop a sample of African-American inventors from a broad range of sources. Using patent records and biographies, she is able to compile an extensive amount of information about their education, access to social groups, and location. Using a variety of appropriate econometric methods, she shows that access to networks and social capital played an important role, possibly a more important role, than they did for inventors generally. One of the most interesting findings is that there were powerful interaction effects between education and access to inventor networks. Education had small effects on the success of African-American inventors in the South but had powerful effects for those inventors who had moved to the Midwest, where they tended to be found near other groups of inventors.

Lisa has combined her samples of African-American inventors and white inventors with information on lynchings, riots, segregation laws, and such court cases as *Plessy v. Ferguson*. She then examines the impacts of violent environments and restrictions on the rule of law on inventive activity for both white and African-American inventors. She estimates a variety of specifications. The tightest estimates come from the random effects model and she finds a strong negative effect of lynchings and race riots on patenting activity of African-American inventors. For some types of inventive activity she also finds a negative effect of segregation laws. This finding helps explain why she found so much more inventive success for African-Americans in the Midwest than in the South. Black inventors' social networks were more restricted in the South in part due to the segregation and the weaknesses in the rule of law for African Americans. This paper

is a revise and resubmit at the *Journal of Economic Growth*, where I believe that the revision will likely be accepted for publication soon.

Lisa's research methods for identifying African-American inventors has led her into a very productive collaboration with Trevon Logan and John Parman on the degree to which there were unusual black names before the civil rights era and the impact of their names on socio-economic outcomes. In a very nice NBER working paper, Lisa, Trevon, and John used Census records to identify where there were specific first and last names associated with African-Americans. Modern naming conventions have led to a number of names associated with African-Americans and economists and sociologists have shown that people with African-American names have suffered negative consequences when seeking jobs and socio-economic advancement. The new NBER paper shows that there were strong associations of some names with African-Americans before the civil rights era. African-Americans were more likely to have a series of biblical names and also to be named after famous Americans and presidents. They then double-check this finding by comparing the naming conventions in the census with naming conventions on North Carolina death certificates. They then take the information and look at the relationship between adult death rates and African-American names in North Carolina over more than 70 years. In contrast to many modern findings, they find that people with African-American names had positive experiences; they were more likely to live longer. They perform placebo tests to demonstrate that there was no effect of the African-American names on infant mortality, so that there was something about the lifetime experiences of people with African-American names that contributed to the longer lives. They are still exploring the mechanism that leads to this positive effect, but just finding an effect is important. Once they can define the mechanism more fully this will be a superb paper. My own sense is that the African-American names that they identify from prior to the Civil Rights Era are of a quite different kind than the names in the post-Civil Rights era because the older names are much more associated with great men and biblical figures. As a result, they likely carried a quite different connotation than the unusual names in the current era.

In the *Business History Review* Lisa has a fine paper on the problems faced by African-American entrepreneurs and inventors in marketing their products. Using information from the Garrett Morgan papers she shows how Morgan's sales of gas masks when newspapers revealed that he was the inventor of the gas mask that he used to save people in a major disaster. In live presentations he dressed himself as a Native-American and talked about Garrett Morgan as a Negro assistant. He also worked to maintain anonymity in many of his business dealings. The case study does a nice job of fleshing out the mechanisms that she identifies in the empirical papers on social networks and African-American inventing.

Lisa has compiled an impressive sample of patent data from the Soviet Union over more than 30 years. Lisa's description of the Russian system for assigning patent rights under a socialist regime is worth a paper by itself because it identifies how a socialist state worked to set incentives aside from patents. In a working paper, "A Green Light for Red Patents," Lisa has examined the extent to which Soviet inventors patented inventions in

the U.S. and England and the extent to which they just relied on the soviet patents and ICs.

The paper shows that there was far more inventive activity in the Soviet Union and that there were far more Soviet inventors filing for patents in foreign countries than had been previously realized. Just these findings are contributions to the literature. Lisa has been working to show how the changing incentives from the patent systems inside the system and access to foreign patenting influenced inventive activity.

that part of the paper of the paper needed some more work to better would show how the changing incentives influenced the inventive activity. Once she does that, this work will make major contributions to the literature on incentive mechanism for inventive activity.

Although I have talked with Lisa about her research for several years, this is the first time I have had the opportunity to sit down and read through a large selection of her work. These are very interesting papers that make significant contributions on each topic. Lisa's career to date is the classic illustration of someone who had a slow start in terms of publishing in academic journals and then has produced an explosion of research after starting in a new position. At the time Lisa arrived at Michigan State she had written an excellent paper on credit for firms during the Russian transition and a series of policy pieces about African Development and the war in Iraq. After starting at Michigan State she has followed the trajectory of a successful economic historian. The publications did not arrive immediately because, unlike most economists, economic historians develop data sets from scratch, which adds a couple of years to the beginning of each research project. Lisa has done fine work in developing several different datasets and has produced one or two papers from each with the prospect of several other papers that can be developed. She has published papers in three major economics and economic history journals, the *AER Papers and Proceedings*, *Explorations in Economic History*, and the *Business History Review*. Economic and quantitative historians see papers in *Historical Methods* as valuable contributions because the papers there provide scholars with insights on how to improve the quality of datasets. She has a four book chapters in edited volumes through the NBER and major presses like Upjohn, Cambridge, and Princeton. The standards for these papers are generally high. Lisa also has a conditional acceptance at the *Journal of Consumer Education* and revise and resubmits at high quality journals. Economic historians also write book reviews, and Lisa has several of those in the leading outlets. Given the timing of the papers, some might claim that Lisa has put on a tenure push and the research will slow down afterward. I do not believe that this is true. Lisa has a full pipeline of papers, and the data sets that she has developed can be used and combined with other data sets to produce a whole range of papers that she has not started yet.

Lisa also brings two other valuable dimension to her departments at Michigan State. First, she is strongly connected in the world of economic and public policy. She spent 2011-2012 on the President's Council of Economic Advisors and helped write several chapters of the *Economic Report of the President*. She also has strong ties to the Hoover Institution and the Kennedy School of Government at Harvard and thus she will likely

continue to have opportunities to contribute writings in the policy realm that will bring positive attention to Michigan State.

Second, Lisa has been successful at obtaining grant funding for her research. She has at two-year NSF Grant, another grant from the Bill and Melinda Gates Foundation in conjunction with the NBER, and a series of visiting scholar grants from the NBER/Kaufmann foundations, University of Michigan, and Harvard Business School.

You asked me to compare Lisa with other economic historians, but this is not easy to do. Lisa's case is complex because it has not followed the traditional trajectory for most promotions to associate professor in top 40 economics departments. The typical case has 6 or 7 papers in strong journals over a 5-6 year period with not much else. Lisa's co-author Trevon Logan followed this path to tenure at Ohio State several years ago, and I expect he will soon become a full professor there. Lisa's journal publication record at MSU is not as strong as Trevon's when he came up for tenure at OSU. Since arriving at Michigan State Lisa has 4 journal articles published in strong field journals or better with two or three likely hits coming within the next 6 months. But she has dimensions that Trevon did not. She also has 4 high quality book chapters and a series of policy publications related to being on the President's Council of Economic Advisors. When I combine all of this with the grant activity and Lisa's work before she came to MSU, I see Lisa's record as comparable in quality to Trevon's at the time he came up for tenure.

The economics department at the [REDACTED] is ranked similarly to Michigan State's economics department. Lisa's case would be a close call at [REDACTED] because of its nontraditional nature, but I believe that she would receive tenure at [REDACTED]. The combination of research and policy work that Lisa has produced makes her a deserving candidate.

After weighing all facets of Lisa's writings, I believe that Lisa Cook's record is strong enough to deserve promotion to the position of Associate Professor with tenure.

[REDACTED]

[REDACTED]

December 2, 2012

Sherman W. Garnett
Dean, James Madison College
Carl Davidson
Professor & Chairperson
Michigan State University

Dear Dean Garnett and Professor Davidson:

I am happy to write a letter of evaluation of Lisa Cook for her possible promotion to tenure. I understand that you are asking me to comment only on the research component of her qualifications, and I am pleased to be able to give a positive evaluation.

[REDACTED]

Her most important research has come in three quite different fields: the economics of Russia, Africa, and African-American issues. The theme of patents and technological innovation is a recent fourth area that overlaps some of the others a useful way. She has a remarkably wide-ranging combination of interests, experience and skills that is even broader than this short list of fields indicates.

The paper that remains her best-known came out of her Ph.D. thesis: "Trade Credit and Bank Finance: Financing Small Firms in Russia," *Journal of Business Venturing*, (1999). She put together financial data from a survey of 352 Russian firms conducted in 1995, several years after the fall of the Soviet Union. She found that non-financial firms that were granted a vote of confidence by other firms in the form of trade credit were then more easily able to get credit from banks.

After a hiatus, Professor Cook's research has in recent years bloomed productively in several directions.

"Metals or Management? Explaining Recent Economic Growth in Africa," (*American Economic Review* May 2009, with Laura Beny), takes a whack at the critical question whether the last decade of much-improved economic performance in much of Africa can be attributed to the global commodity boom, in which case one would fear a reversal of growth when the commodity boom reverses, or whether it is evidence of policy lessons have been learned and governance has improved in some African countries. The answer is: some of both. [REDACTED]

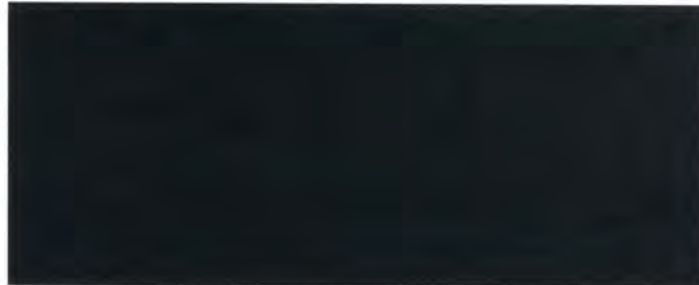
[REDACTED]

[REDACTED]

The recent paper, "The Long-Term Consequences of Distinctively Black Names:..." is a fascinating little piece of statistical research that anyone would find interesting, with an unpredicted conclusion. Anyone would find the historical paper about Garrett Morgan fascinating as well.

I can't say that Lisa would receive promotion and tenure at [REDACTED]. Her name recognition within individual fields of economics has been hurt by the fact that she is spread out among such different fields. But her research contributions are solid: the papers deal with real topics and come to real conclusions. Her hallmark is constructing new data sets so as to be able to shed light on previously unanswered questions. This kind of work requires lots of time and entrepreneurial perseverance which, in my view, is not valued quite as highly by the economics profession as it should be. Personally, I value her research more highly than if she had written a large quantity of papers that used fancier theoretical or econometric techniques but that existed only in a self-referential academic world with little connection to reality.

Regarding her future trajectory, the impressive recent trend is grounds for confidence. In short, my view is that her research does merit tenure at a good economics department outside the top ten; I enthusiastically recommend that she be given tenure at MSU.



[REDACTED]

September 20, 2012

Sherman W. Garnett
Dean, James Madison College
Professor Carl Davidson
Chairperson, Department of Economics
Michigan State University
East Lansing, MI 48825

Dear Dean Garnet and Professor Davidson;

I am pleased to honor your request to serve as an outside evaluator for the promotion and tenure application of Linda Cook. I met Professor Cook [REDACTED]

[REDACTED]

However, I have not engaged in any joint research with Professor Cook, nor have I served as a referee for any of her published manuscripts. [REDACTED]

[REDACTED] I think it is important
for you to know that I [REDACTED]
[REDACTED] during which time I was regularly required to separate professional judgments from personal or social connections. Thus, I believe I can provide you with an objective and informed *assessment of the quality and importance of Professor Cook's scholarly work.*

I have carefully read all six of the published or forthcoming academic papers written by Professor Cook that were identified by your office as comprising the sample of her scholarly work that I am to review. I can assure you that Lisa Cook is a well trained – and innovative – social scientist who is contributing to a number of important professional conversations!

Professor Cook's research asks questions of interest to economists, historian, specialists in finance, policy analysts, and scholars seeking to understand the African American experience in the U.S. who teach in a variety of disciplines including African American Studies and American Studies. Her research asks; how do firms in transitioning economies secure access to capital at

viable rates, how do black entrepreneurs address the possibility of discrimination that can prevent the adoption of their innovations, does political instability and violence hamper the flow of ideas and technological change, can policy makers introduce incentives – other than patents – to promote technological advancement, and are life outcomes related to naming patterns for African Americans? The most salient features of Professor Cook's work is how innovative or fresh it is. Lisa tends to examine issues that either have not yet been addressed – often due to the unavailability of relevant data – in which case she takes the initiative to engage in primary data collection - or questions that have been examined in the past but in ways that did not fully resolve the issues at hand. Thus, her work is adding new insights that enrich our understanding of some important questions. Below I identify valuable features common to all of her work, and discuss why her papers to date have been well received.

It is apparent that Professor Cook is aware that empirical studies can suffer from a number of thorny econometric problems that undermine the validity of findings. In response she goes to great lengths in order to generate convincing results. In each of her papers she identifies possible sources of endogeneity, measurement error, and omitted variables that might mar the accuracy of her findings. Then, she details how she goes about circumnavigating these problems – often this entails using instruments, using fixed effects, and creatively exploiting the data to generate propensity scores to help account for potential selection bias. Moreover, she has a penchant for investigating the robustness of her findings by exploring the influence of alternative model specifications and by investigating if factors mediate her key findings.

Another noteworthy feature of her research is her use of a variety of data sets, selected not due to familiarity but to its appropriateness for the task at hand. Many young scholars latch onto a single data set and use it for virtually all of their research for a number of years, even if it suffers from critical shortcomings for exploration of a question. Professor Cook, on the other hand, has acquired and gained facility with a number of different data sets including – Census data, North Carolina Death Certificates, The National Inventors Hall of Fame, Historical archives of state racial segregation laws, the U.S. and Russian Directories of Scientists and Engineers, and the Garrett Morgan papers – because of her desire to locate data that are ideal to conduct the investigation of interest.

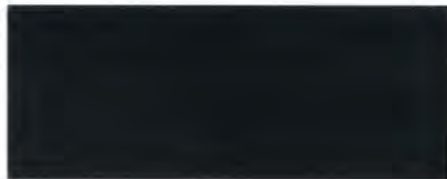
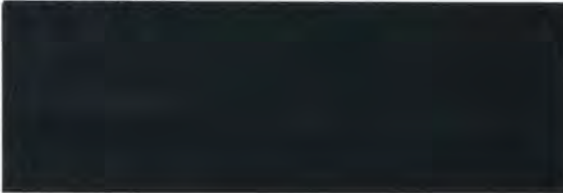
In summary, I enjoyed – and learned – from reading Professor Cook's papers. As a result, I feel more informed about a number of issues that are central to a host of on-going policy debates in the academy. Here are a few examples of Professor Cook's research findings that are enlightening and are now part of the body of knowledge held by scholars conducting research on technological change and the African American experience in the U.S. In transition economies, limited access to financial capital can be a substantial problem because the financial system is still developing and risk assessment is a challenge. In such situations Professor Cook finds that firms arrange for trade credit (i.e., essentially a loan from the firms they buy from) and they use that arrangement, which speaks to their credit worthiness, to better position themselves to subsequently acquire conventional bank loans. The knowledge gained from this work will inform banking and finance educators about the behavior of banks or financial practitioners when the banking system is maturing. She also finds that in societies marked by customer discrimination, entrepreneurs circumnavigate the disparate treatment they face due to race in many ways including the use of disguises and representative surrogates. Professor Cook offers evidence that when violence and political conflict are common technological innovations are dampened which hampers long run growth which highlights the importance of good governance

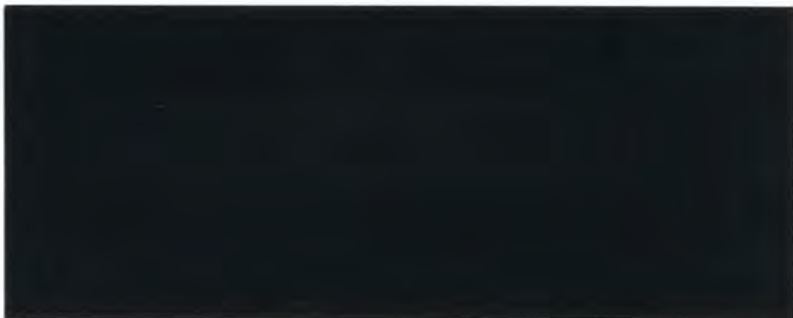
Her work also reveals that social capital, especially in the form of networks, promotes innovation and that when discrimination limits access to conventional networks such as clubs that less traditional forms of social capital emerge including moving to states where there are innovators in order to locate co-inventors or partners.

A literature has emerged in recent years documenting that African Americans with distinctively black names experience poorer outcomes in the labor market than comparable blacks with names that are not typically associated with race. I expect labor economists who explore the role of race and scholar-educators teaching in African American studies programs to discuss this finding with their students. Professor Cook's work demonstrates that there is also a long-term impact in form of greater mortality for blacks with strongly linked black names. Professor Cook also has shown that non-pecuniary returns to innovation in the form of stature or recognition promote greater technological change in the same manner as pecuniary gains. This is an important finding because it both sheds light on the nature of entrepreneurs and gives policy makers important insights about how to advance technological innovation.

In summary, the scholarly work of Professor Cook is carefully conducted and creative She does a very nice job of framing her work or the questions she explores, and when appropriate draws on work from other disciplines especially history. The breadth of her work is laudable – she is working in a number of different sub-fields of economics – industrial organization, labor, finance, history – and producing valued work. Professor Cook has mapped out and advanced an interesting and ambitious research agenda over the course of the past few years and has produced papers that make substantive contributions to the literature. Looking both at her work under review and the papers she is currently working on I expect Professor Cook to continue to produce provocative papers that will be published in well regarded journals. Clearly, Michigan State University has been well served by having Professor Lisa Cook as part of its faculty!

Sincerely,

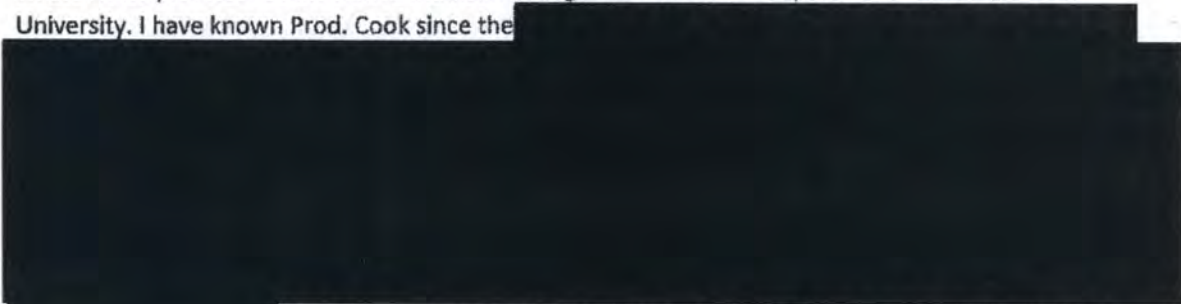




1 Dec. 2012

Dear Dean Garnett and Chair Davidson:

I am pleased to write this letter of recommendation for Lisa D. Cook's promotion and tenure as an associate professor at the James Madison College and Economics Department at Michigan State University. I have known Prod. Cook since the



I feel I am in a position to comment on her scholarship and qualifications for tenure and promotion at Michigan State.

Prof. Cook is a leading scholar of innovative activity and entrepreneurship in two distinct settings, among African-Americans and in Soviet Union/ post-Communist Russia. Drawing on the work in her dissertation, Prof. Cook has published interesting work on entrepreneurship in Russia during the transition period. Based on a survey that she conducted on 352 firms in 1995, she shown in "Trade Credit and Bank Finance: Financial Firms in Russia" that capital markets for small enterprises was more active than previously thought. Many small firms were able to secure trade credit from their suppliers, and then use this access as a signal to formal banks to secure additional credit, thus overcoming obstacles created by Information asymmetries in the financial markets. Prof. Cook has also written on inventive activity in Russia. In "A Green Light for Red Patents," she analyzed previously little-known data on the uses of forms of intellectual property in the Soviet Union during the late-Cold War period. Even before the glasnost reforms of the mid-1980s, the Soviet government attempted to provide incentives to its citizens to perform and reveal inventive activity. Her analysis provided valuable correctives to the conventional wisdom by showing knowledge flows between the Soviet Union and the West was two-way street and that Soviet inventors responded to market signals by increasing the rate of domestic and international patenting. Soviet citizens received over 7,000 patents from the USPTO, which is comparable to the numbers (if not the per capita rates) for citizens from western European countries such as Belgium and Austria. I am by no means an expert on the Russian economy. What I note is that in both these studies from the "Selected Publications" list, Prof. Cook has proven her ability, using multiple methods and operating in a difficult foreign environment, to discover and develop totally new data sources and then to analyze this new evidence to yield fundamentally new insights.

Prof. Cook has also produced path-breaking articles on invention and enterprise among African-Americans in the 19th and early 20th century United States. "Inventing Social Capital: Evidence from African-American Inventors, 1843-1930," recently published in *Explorations in Economic History*, provides a valuable look into a previously neglected but important topic. The research project involves rescuing and substantially expanding a dataset on patenting by African-American inventors. Prof. Cook then contrasts the behavior of the major inventors, and specially their social networks, with that of "Great American Inventors" as identified by Khan and Sokoloff. She finds the African-American inventors had larger but weaker networks. In a related piece, "Violence and Economic Growth" Evidence from African-American Patents," Prof. Cook addresses the effect of civil and ethnic conflict on the entrepreneurial and inventive activity of members of vulnerable minority groups. The dataset used in this paper is based in part on her work in "Converging to a National Lynching Database," published in *Historical Methods*, which seeks to compile information on extra-legal violence from the *Chicago Tribune*, the NAACP/Tuskegee records, Beck and Tolnay, Project HAL, and other sources into a unified, comprehensive resource. The "Violence" paper relates the African-American patenting rate to the number of lynching, which rose in the late 19th century and then began to fall, the spread of Jim Crow laws enforcing segregation, and the number of major race riots, which took off after the mid-1890s. The patenting data reveal a sharp drop of patenting activity around 1900. A parallel collapse in the rate of formation of African-American newspapers coincides with this change. The negative effects of civil and ethnic conflict on African-American enterprise has important implications for contemporary economic development in many parts of the worlds and seeking publication of the work in the *Journal of Economic Growth* should provide the findings and the author with wider visibility.

One of the most interesting articles in the packet was the piece on Garrett Morgan, the African-American inventor of the gas mask/safety helmet, and traffic light. This paper is well published in *Business History Review*, the leading journal in business history. Drawing on archival materials, Prof. Cook shows how in an age of potent racial discrimination by consumers, African-American inventors including Morgan adapted to gain desirable economic outcomes. The patent application system was itself racially-blind. And through the use of white surrogates and masks (to disguise himself as a First Nations person), Morgan was able to attain a sufficient degree of anonymity to escape the worst adverse effects of racist attitudes among customers. He also utilized links with his broader social network, including religious, civic, and business channels, to sell his inventions.

One intriguing work-in-process, an offshoot of her research identifying African-American patentees, adds to the literature on ethnic naming practices. There is a large and growing body of work, including widely-cited pieces by Fryer and Levitt (2004) and Bertrand and Mullinathan (2004), on current-day African-American naming practices; these articles document the generally negative economic consequences suffered by those persons given distinctly African-American names. In the paper, "The Long-Term Consequence of Distinctively Black Names," Cook and co-authors take a more historical perspective to offset some of the prevailing negativity. Using data from the manuscript census, they show the use of distinctive names in the African-American population was common in the late 19th and early 20th centuries, long before the Civil Rights Era/"Black is Beautiful" movement of the 1950s and 1960s. Isaac, Moses, and Prince were much more common first names among American-

American males than among males in the general population. Cook and co-authors also show the naming practices had consequences, positive consequences. Using a database of death certificates from North Carolina for the first three-quarters of the 20th century, they demonstrate that African-American males with these distinctively Black names lived, on average, one year longer than those without such names. There is much potential to follow up on these intriguing findings. The paper, together with other items on the vita, shows there is promising work in the pipeline.

Your request letter asks explicitly for a comparison between the candidate and other members of the relevant cohort. Such comparisons are a little difficult to make in this case given the time since Prof. Cook received her degree and the positions that she held before coming to Michigan State. Of the students who graduated at roughly the same time and work in the technology area, three come to mind—Petra Moser (also from Berkeley) and Peter Meyer and Thomas Geraghty (both from Northwestern). Cook has not done as well as Moser who is an untenured assistant professor in economics at Stanford. Cook has done better academically than Geraghty, [REDACTED] or Meyer, an economic historian in good standing who works in the federal government.

To summarize, I am pleased to recommend promoting Lisa D. Cook to the position of an associate professor with tenure at the James Madison College and Economics Department at Michigan State University. I believe she adds greatly to your community of scholars. Please feel free to contact me at [REDACTED] if you have any questions.

Sincerely,

[REDACTED]

**MICHIGAN STATE
UNIVERSITY**

September 1, 2011

Professor Lisa Cook
James Madison College

Dear Lisa:

As in the past, this letter provides my annual rating and commentary, along with corresponding raise notification. It is based on the Faculty Affairs Committee review of your white form, scholarship, syllabi, teaching materials, and SIRS forms. Your rating this year is a [REDACTED] with a corresponding merit increase of \$1700. This 2.16% raise is the result of an agreement with the Department of Economics. [REDACTED]

[REDACTED] and contributing in service. You have been appointed to President Obama's Council of Economic Advisors for the next year, a prestigious opportunity for applying your knowledge in service of the country. [REDACTED]

[REDACTED] We have encouraged and supported you and look forward to your return and to what this time in Washington will bring to our students in your courses. One additional note: you have delayed your standing for tenure and spent much of this past year responding to scholarship demands that have emerged from your conversation with the Department of Economics. You note this concentration on scholarship in your white form, and this special effort over the past year is an important context for analyzing your performance.



**James Madison
College**

369L South Case Hall
East Lansing, MI 48825-
1205

517-353-6750
Fax: 517-432-1804
jmc.msu.edu

You taught two courses in the College this year, MC 221 and MC 492, a half-time load that corresponds to your half-time assignment to the College. You speak of your teaching this year as "unrepresentative," given the commitment you made to scholarship. You also note this focus outside the classroom put pressure on timely grading and feedback, but students did not seem to complain about this issue. [REDACTED]

[REDACTED] Your fall senior seminar focused on what you call the "new capitalism." It took the current recession as a theme, as well as providing the students the tools and perspectives rooted both in strong readings in economics and other disciplines. The student response was quite strong, numerically and in the commentary on the back of the forms. Some students suggested you might have overloaded the course, not uncommon for a first run through a new course. You also note the need to reorder some of the elements, but these [REDACTED] issues that a second version will fix.

[REDACTED] You highlight the relevance of the course by linking its content to news stories and contemporary controversies, reinforced in class by discussion, debates, and presentations. You give students the beginnings of a toolkit for understanding the world economy, and you do so in a way that that highlights even for the student not enamored

with economics the importance of economic policy and literacy in today's world. Your student responses were a bit more bifurcated when it came to their assessment of discussion, but overall numbers were good and back-of-the-form commentary made plain that you are seen as demanding and supportive of student learning. You make a

[REDACTED]

From the perspective of FAC and me, [REDACTED] You had two papers published this year, three more under revision after receiving comments from journals, and two new papers submitted for publication. No one on the review committee was an Economist, so we hesitate to provide feedback even on the starred piece (though it was clearly written and interesting). What we do understand is how much effort went into this kind of scholarly record. I am also glad to see that long hours from years past to develop your data that might not have yielded immediate article drafts have led to a wide-ranging and [REDACTED] scholarly agenda, one recognized by funders such as the NSF and NBER (and the White House!). I have seen over the last couple of years how hard you have worked. I have also seen what I believe is [REDACTED] This year FAC commented on how [REDACTED]

[REDACTED] focusing on your scholarship. You worked with Mike Crow to develop a comprehensive College climate survey and were a member of the search committee that found a new diversity coordinator. You also served on UCAP and the African Studies Board. You continue to assist students nominated for major scholarships. These tasks alone would make up a year of [REDACTED] service, but you also have service in the Economics Department (Development Economics Field Examination Committee, as well as individual graduate student committees). You also gave a several talks, inside MSU but also at important places outside MSU, like the Federal Reserve Board in Chicago. You also regularly appeared in the media, helping the wider public understand key economic policy issues.

Finally, I am obliged to remind you of the structure of this year's raise pool and the raise formula used by the College.

****The Trustees approved a general raise pool of 2.5%. The Provost assigned 1.5% to the merit pool, which is allocated through our ratings process and the percentage/ratio system described below. The remaining 1% is split evenly between Provost and College market pools.**

****The total merit pool money available to the College is as follows. We received \$55,146 for this pool, representing 1.5% of the raise list (which includes tenure-stream faculty and three senior staff members). From this sum must be subtracted the College contribution the By-Laws mandate for promotion raises (two for associate and one for full). We contribute \$4,000 to these raises. I must also cover the raise for senior staff on the raise list that must be processed through a different system, leaving approximately \$49,000 in the merit pool. The two market pools each contain \$17,355.**

**The percentage/ratio system, established by the faculty some years ago and based on annual ratings of High, Medium High, Medium, Medium Low, and Low (H, MH, M, ML, and L) remains in effect. Pluses and minuses are used for the purposes of providing additional feedback but are not relevant to the allocation of merit raises. Under our system this year, a faculty member receiving a merit rating of H will receive [REDACTED]. The ration system provides faculty receiving an MH rating with a [REDACTED] raise and an M rating will a [REDACTED] raise.

**Raises for those with joint appointments or percentage assignments to other units are, as always, the product of an agreement between the dean and corresponding heads of the partner units.

**The Dean nominates individuals for awards from the Provost market pool. The Provost limits the number of such nominations to a percentage of the total faculty and only in cases of superior and sustained merit over three years and demonstrable market concerns. Faculty nominated for these awards are notified of the dean's nomination for the award in this letter and separately of the Provost's decision.

**As in the past, the College market pool will also be focused on cases of recognized excellence from the annual reviews and market factors. Given the tighter restrictions on the number of nominees for the Provost Market, I have spread the College fund more widely, including using these funds to address identified salary gaps.

[REDACTED] I hope your year in Washington is a great one. It should be obvious from this letter that we [REDACTED] from your presence on the faculty. I have encouraged you to stand for tenure, supported your research, and worked to respond to this new opportunity at the White House. I look forward to your return. I would be happy to discuss with you about any aspect of this review or questions you might have. Please sign and date this letter below and return a copy of it to Jackie Stewart for our files to indicate that you have received and read it.

Sincerely,

[REDACTED]

Sherman W. Garnett, Dean

Received by _____ Date: _____

**MICHIGAN STATE
UNIVERSITY**

September 28, 2010

Professor Lisa Cook
James Madison College
Campus

Dear Lisa:

This annual review comes after a hard budget year that has left me the usual task of analyzing and rating your performance, based on a thorough review and detailed input from the Faculty Affairs Committee [FAC], but without the usual merit pool money to recognize your accomplishments. I discuss this year's salary pools at the end of this letter, but I want to begin by noting that widespread faculty and staff support for the zero percent merit pool this year has helped in concrete ways for us to better address the large fiscal challenge facing the College. Even as you took on this sacrifice, you and your colleagues have maintained an [redacted] teaching, research, and service record. I want to thank you for both your sacrifice and your continued commitment [redacted] You had a [redacted] year, earning a [redacted] rating.

Teaching—

You taught both MC 295 and two sections of MC 202. Your reflective white form chronicles your continued growth as a teacher, as does your [redacted] performance across the board. MC 295 is a familiar course for you, and you continue to make it [redacted] course. You detail the various improvements, and these seem to have had the desired impact, for these are the strongest student comments you have had yet. There are few complaints on inadequate guidance on STATA, but only a handful and thus in keeping with what is fairly common in all our methods courses—a small subset of students who demand more help. You have [redacted] teacher, building upon your [redacted] purpose, [redacted] aims, and [redacted] to add a [redacted] with the full range of students. MC 202 was a new experience for you, [redacted] in the first year. Students saw you as a strong section leader, illuminating the lectures, stretching the content, and skillfully managing discussion.

Scholarship—

You had [redacted] year as a scholar, with pieces coming out, grants received, and five articles out for review. You made [redacted] your year off, yielding publications this year and [redacted] The core of this work is obviously the peer-reviewed AER publication and the five articles now under review. Madison's public policy concerns also must take note of the prominence of your lectures and appearances, including Congressional testimony and appearances at the World Bank. You have become an associate editor of *Feminist Economics* and an active reviewer for other important journals. You have started to [redacted] the foundations and other sources of funding, highlighted by the Gates award. Over time, the Vice President for Research and I hope you will be able to bring future grants to MSU. [redacted]



**James Madison
College**

369L South Case Hall
East Lansing, MI 48825-
1205

517-353-6750
Fax: 517-432-1804
jmc.msu.edu

[REDACTED]

Citizenship—

You have a wide range of ad hoc work within the College and committee work in Economics and elsewhere. The ad hoc work in the College relates to various committees formed to examine future options for addressing the budget crisis, fostering innovation, improving the climate in the College, and aiding in the preparation of the next development campaign. Not all of these ad hoc committees have moved beyond initial exchanges of views, but I know you have been active in the development strategy group and I am expecting good things from the draft survey you and Mike Crow are putting together on climate issues. You have wide-ranging responsibilities in Economics, including an important role with beginning graduate students in development economics. I also note here your continued work on the selection committees and subsequently with our Truman, Marshall, and Rhodes candidates to help them prepare for national interviews. These and other activities and roles listed in your white form represent a substantial service record. As I look ahead, it would be great to

[REDACTED]

[REDACTED] I believe [REDACTED]

inside the College would be a good thing for both you and the College.

Normally, I close by reminding you of the merit raise formula used by the College. This year, there is no general merit salary adjustment pool, as the President and Provost proposed to the Board of Trustees, and the Board concurred, that no such pool be provided for the 2010-11 period. We will thus not be applying the merit raise formula this year. The university will fully fund standard promotional salary adjustment that is typical of each college for those receiving tenure and promotion. As the Provost will wholly fund these promotion and tenure awards this year, I have decided to use the College's share [\$2,500] to sustain a small salary gap fund. As in past years, the Provost has established a market pool of one percent "to retain talented faculty and academic staff." This pool is restricted to no more than 20% of tenure-stream faculty and academic staff, must be used only for those "consistently judged to be very meritorious by peers at MSU or at comparable institutions." The Provost has defined this typically as having multiple years of ratings at the very top of the College. Salary gap issues may also be part of the criteria. If you have any questions about this year's compensation pools, please bring them to me.

[REDACTED] Please sign and date this letter below and return a copy of it to Jackie Stewart for our files to indicate that you have received and read it.

Sincerely,

Sherman W. Garnett, Dean

MICHIGAN STATE
UNIVERSITY

September 15, 2009

Professor Lisa Cook
James Madison College

Dear Lisa:

You received two courses off last year and thus did not teach in the College. The Bylaws require me to treat this year as a sabbatical, which makes your rating one automatically assigned by averaging that of the last three years. These past three years you received an [redacted] and [redacted], giving you an average rating for this past year of [redacted]. Your two departments have agreed on a \$1200 raise.

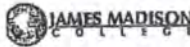
Please remember in next year's white form to combine the scholarship work from this sabbatical from what you accomplish during the coming year, as FAC did not review any work you did this year because of the automatic rating. Next year's review provides an opportunity to look at the collected accomplishments of your sabbatical and your year back in the College.

Finally, I am obliged to remind you of the raise formula used by the College. The percentage/ratio system based on annual ratings of H, MH, M, ML, and L remains in effect. For this year, the University allocated a general merit raise of 1.5%. The total available from this pool, after subtracting the College portion for raises for promotion to associate and full professors (two for associate and one for full), was \$48,566. Under our system this year, a faculty member receiving a merit rating of H will have a raise of [redacted] one with an MH will have a [redacted] raise, one with an M will have a raise of [redacted] one with an ML will have a raise of [redacted] and one with an L will have [redacted]. Raises for those with joint assignments are, as always, the product of an agreement between the heads of the partner units. A small amount of funds from salary savings have been assembled to address salary gaps for a group of tenured faculty identified by last year's salary study and recommended by FAC as currently the most disadvantaged. There is no College market fund. The Provost provided an additional .5% as a university market fund, from which the College proposed additional salary support in cases of superior and sustained merit and market concerns. Those nominated for these awards will be notified separately of the Provost's decision. The Provost and the College will be dispensing all raises, promotion and other awards, and market funds this year in two equal payments, the first in October and the second in April.

I am looking forward to your full-time return to the College this coming year. Please sign and date this letter below and return a copy of it to Jackie Stewart for our files to indicate that you have received and read it.

[redacted]
Sherman W. Garnett, Dean

Received by _____ Date: _____



Michigan State University
South Case Hall
East Lansing, MI
48825-1205

Main Office
517-353-6750
Fax: 517-432-1904

Dean's Office
517-353-6753

Admissions
517-353-5259
Toll Free: 888-222-3769

Academic Affairs
517-353-6754

Field Experience
517-353-6757

Development
517-432-2117

Career Services
517-353-6756

July 28, 2008

Professor Lisa Cook
James Madison College
Michigan State University
East Lansing, MI 48825

Dear Lisa:

This letter aims to provide you feedback on your recently completed and successful reappointment review. This review thoroughly examined your record as a teacher, scholar, and citizen of James Madison College and in the Department of Economics at Michigan State University over the past three years. My recommendation to reappoint you, [REDACTED]

[REDACTED] is a vote of confidence in you and the work you have done. You still have work to do in this next three-year period to meet the expectations in both units. You have to make teaching improvements in your courses here to reach the standard of sustained excellence in teaching at the next review; Economics also expects a number of peer-reviewed publications (and has chosen to address its concerns to you separately).

This letter will focus primarily on your work at Madison College, including the identification of strengths and weaknesses and suggestions for addressing the latter. Because of your joint appointment, your work at Madison looks somewhat different from full-time faculty in the College. You have fewer opportunities to teach, for example, as well as service and scholarship expectations from a second department that differ somewhat from ours. As you will see at the end of this letter, the joint appointment also requires some thought on your part.

Teaching

You taught a half-time load in the College, including MC 221, MC 295, and MC 492. The RPT Committee found you had [REDACTED]

[REDACTED] It also [REDACTED]

In your MC 295 course, you [REDACTED]

Students found the course fast-paced, abstract, and intimidating. They were impressed with the depth and breadth of your knowledge. While praising your accessibility and helpfulness in office hours, they often felt lost and overwhelmed in the course itself. Student reactions were much more negative about the course than the somewhat lower ratings commonly, but not always, given by our students to methodology and economics-oriented courses. The RPT believes the [REDACTED]

tools you teach in the context of their utility for exciting and public policy-relevant research.

—your half-time teaching load also gives you less opportunity than full-time faculty to add in elective and new courses. Our MC 221, senior seminar, and methods constraints are very tight, and you will indeed be rewarded for mastering these crucial courses.

Scholarship

The RPT Committee's meeting with the Chair of Economics underscored the sense in which the assessment of your scholarship will be driven by Economics and its expectations. Again, they will be conveying to you separately their assessment, but my observation is that they have both much higher quantitative and much more specific qualitative expectations than the College does. Their rankings are also shaped by productivity calculations per faculty that are wholly absent from Madison. The College is fully prepared to accommodate these standards, though they grow out of a research department and therefore exceed quantitatively what we expect from faculty engaged in the kind of intensive teaching Madison expects. What follows gives you a sense of how we view your scholarship and should be read solely in this context.

We [redacted] your research. We also are [redacted] disciplinary and public policy professionals. At Madison, your work in the *Hoover Digest* and on the *Africa Competitiveness Report* [redacted] our public policy orientation and is [redacted]

[redacted] You have [redacted]

[redacted] You have also spent a great deal of time compiling [redacted] data sets, such as the data assembled that underlies your look at African American inventors, patents, and innovation. Two articles based on this data set are out for review and [redacted] the work you are doing on finance, innovation, and development, as well as your search for outside support and participation in important venues like the summer institute of the National Bureau of Economic Research. For tenure, we would [redacted]

Service

We do not expect a heavy service load from faculty during their initial three years. You are [redacted] colleague. You are active in faculty and field meetings, offering insights, ideas, and perspectives that are [redacted] the debates. You have taken on important service work in your participation at the college, university, regional, and national

levels in the preparation and selection of candidates for major scholarships such as the Truman or Marshall. I served with you on the Rhodes and Marshall Committees at the Honors College and thus could see first hand your [REDACTED]. You play an active role as a member of the Board of Directors of Spelman College. I am also aware of work you have done with graduate students in Economics. Now that you are reappointed, you should indeed [REDACTED]

Conclusion

Before I conclude, I want to say a word about the joint appointment. You wanted the challenge of bridging two departments and two cultures, and I have supported you from the very first. The RPT Committee and I are concerned that you are expected to meet the scholarship standard of a research department and our own demanding standard of "sustained excellence in teaching." We see from our own review and from the discussions with Economics that there are [REDACTED]

[REDACTED] We have modified our teaching loads to support the joint appointment and will continue to work to support you in whatever way we can. We do not want you stretched too thin, and we very much want you to see us as a supportive community who values your contribution here and outside the College. However, I do want you to take time to reflect on the joint appointment. [REDACTED]

[REDACTED] In particular, once you have feedback from Economics, I would like to discuss with you where you believe you stand and your own strategy for the next three years.

This letter has been both encouraging of your accomplishments but also frank in what you still need to address if you are to obtain tenure. [REDACTED] I carefully examined your record and confidently recommended your reappointment. We [REDACTED]

[REDACTED] We are also prepared to support you. We want you to succeed. I remain ready to discuss the issues raised in this letter further and to attempt to assist you in devising your approach to addressing them, but I also want to congratulate you for the work you have done and the milestone you have reached with your reappointment. In the meantime, please sign and date this letter below and return a copy of it to Jackie Stewart for our files to indicate that you have received and read it.

Sincerely,

Sherman W. Garnett, Dean

Received by _____ Date: _____