

COMMISSION ON RESEARCH

September 14, 2011
325 Burruss Hall
3:30 – 5:00 p.m.

Members Present: Randy Wynne (Chair), Lay Nam Chang, Dennis Dean, Guru Ghosh, Serkan Gugercin, Terry Herdman, William Huckle, Delbert Jones, William Knocke, Bradley Martens, Jeff Moore, and Tammy Bose (Recording Secretary).

Absent: Michael Akers, Kevin Davy, Jesus de la Garza, Heather Moorefield-Lang, Annie Pearce, Anita Puckett, Arnab Roy, Robert Walters, and Chris Zobel.

Guests: Rodd Hall (for R. Walters), Jason Deane (for C. Zobel), Dongmin Liu (for K. Davy), Ken Miller, Sandra Muse, and Don Taylor.

I. Approval of Agenda: A motion to approve the agenda as presented was offered, seconded and was carried.

II. Approval of the minutes for CoR meeting of May 11, 2011: A motion was made to adopt the May 11, 2011 minutes without modifications and the motion was carried.

III. Announcements:

a. Welcome and Introduction of Commission Members: R. Wynne read the Commission on Research charter to the members. Guests and new members present were introduced: Guru Ghosh, Jeff Moore.

b. Schedule of FY11-12 CoR Meetings: R. Wynne announced the dates for the Commission for the FY 2011-12 meetings. The October meeting will include the library dean, Tyler Walters. The November meeting will include Paul Knox and other members of the strategic planning group. All meetings will be held in the 325 Burruss Hall conference room, except the December meeting, which will be held in 201 Burruss Hall.

Meeting Schedule for the FY2011:

September 14, 2011
October 12, 2011
November 9, 2011
December 14, 2011
January – No Meeting
February 8, 2012
March 14, 2012
April 11, 2012
May 9, 2012

c. Potential Focus Areas for the CoR for FY11-12: R. Wynne listed several items that will be the focus of the Commission for FY 2011-12: representation of Special Research Faculty (SRF) in governance, involvement in the strategic planning process, review of the Conflicts of Interest (COI) Task Force findings, revision of Policy 13010 on conflict of interest and commitment, and issues related to the library.

W. Huckle mentioned that the COI Task Force, chaired by Pat Hyer and Beth Tranter, will be addressing issues of consulting and COI, especially when faculty have dealings of a

financial nature with outside companies. The Public Health Service and NIH will soon be issuing financial guidelines relating to when financial data has to be reported and guidelines for the documentation of policies training. The committee consists of 20 members whose role is to review and revise the current Policy 13010 regarding the area of consulting and commitment conflicts of interest. Two sessions on 13010 at future Commission meetings are planned; one to review the updates of federal policy changes, and another to review the proposed modifications to Policy 13010.

IV. Unfinished Business:

a. Standing Committee Reports

i. Library Committee: No report.

ii. Personnel Committee: R. Wynne reported that the revised policy 13005 with respect to centers' governance may require a change in how the Commission is involved in evaluating directors. More will be forthcoming in future meetings.

iii. Special Research Faculty (SRF) Task Force: Don Taylor, the chair of the Special Research Faculty committee, gave a report that summarized the committee's recommendations. See attached document entitled "Special Research Faculty Task Force Final Recommendations, June 2011." W. Knocke noted that the Commission needs to maintain ownership of the governance issues that may arise regarding research faculty. There was a suggestion that a listserv be created to better communicate with the entire body of research faculty. The two key areas for the Commission to address were identified as the governance of the SRF and providing additional structure to the promotion process. D. Taylor recommended follow-up with Jack Finney on these issues.

W. Knocke reported that he and R. Hall have met with Dwight Shelton and K. Miller regarding the creation of a central pool of funds to support SRF and the specific logistics for its use. A small task force will be formed to address bridge funding.

iv. Intellectual Properties Committee: W. Knocke reported that the Intellectual Property (IP) committee meets September 21, 2011. Dr. Walters recommended to W. Knocke that the committee review and update the intellectual properties section of Policy 13010. In the recent *Stanford v. Roche* decision, the Supreme Court ruled that the Bayh-Dole Act does not automatically vest title in an invention to a university when it is a federal contractor. This will impact how Virginia Tech policies are written.

Follow-up on the recent faculty survey has led the committee to focus on providing educational activities related to technology transfer and intellectual property policies. Three-hundred faculty members replied to the survey. The question of IP ownership arises when graduate students are not compensated by the university for their research. There are many situations related to undergraduate project design and disclosure in which the IP ownership is unclear.

v. Institute Reviews: W. Knocke reported that there are two institute reviews scheduled for this fiscal year. ICTAS will be reviewed this fall and VTTI in the spring. In performing the reviews, administrators of the institute will refer to the new version of Policy 13005, which has been posted on the web site. Policy 13005 calls for representation from the Commission in the institute review process. Dennis Dean has agreed to participate on the review team and set up the necessary subcommittees to obtain outside input.

b. Research Administrative Systems: R. Hall reported that the committee decided to proceed with the purchase the Cayuse 424 system. Cayuse 424 is intended to be the interface between the individual faculty and the federal government grant entities, such

as grants.gov. Approximately 40 percent of the research grants and contracts that go through Virginia Tech will be able to be handled by the new system. Cayuse 424 is designed to automatically upload standard faculty information into the system when an individual applies for a federal grant and attaches it to information unique to that opportunity. The system prevents errors that are commonly made in the submission process. Matt Swift and Linda Bucy are the team leaders for the implementation and training of faculty on the new system. Additionally, the committee decided that there is not one system available that will function well enterprise-wide. Vice Presidents Blythe, Walters, and Shelton approved the internal development of a system that will be developed module-by-module, focused on the largest area of needs. Some of the modules may already exist on campus and need to be expanded and also be modified to meet strict guidelines regarding the development and operations of enterprise systems.

c. Realignment of University Centers: W. Knocke reported that two centers will remain under the auspices of OVPR: the Interdisciplinary Center for Applied Mathematics (ICAM) and the Macromolecules and Interfaces Institute (MII). Both centers have put together stakeholders committees.

d. Industrial Affiliates Programs: W. Knocke reported that the Industrial Affiliates Programs (IAP) task group has finalized new procedures for the program and these will be posted on the web site within the next few days. There will be meetings with directors to make sure they understand the significant changes that were made. Part of the challenge with evaluating IAPs has been determining how many IAPs actually exist, since some do not have fund numbers. It was determined that currently approximately 24 IAPs are involved in research activities. The programs vary in size, but one IAP has an annual expenditure of 3 million dollars.

e. Update on Proposed Revision of Policy 3020: W. Knocke reported that the revised Policy 3020, the companion to Policy 13005, was issued by Dwight Shelton's office just before the academic year began and is now posted on the web. Knocke noted that all centers that are developed within an institute will now be required to have a charter.

f. University Strategic Plan: R. Wynne reported that the Commission will be involved in strategic planning and has invited Paul Knox to attend the November meeting.

V. New Business:

a. Vice Chair Selection: R. Wynne announced that Michael Akers of Dairy Science has accepted the nomination for the Vice Chair position for FY 2011-12, and has agreed to be elected in absentia. The Chair announced a call for further nominations. There being no further nominations, it was moved that the nominations be closed and this was seconded. A motion to elect M. Akers as Vice Chair was presented and seconded. A vote was taken and M. Akers was unanimously elected as the Vice Chair of the Commission on Research for the FY 2011-12.


b. SRF Task Force Recommendations: W. Knocke reported that the key focus areas for the task force will be the integration of research faculty into governance and their career development and promotion. R. Wynne suggested it would be better to work on these issues in smaller groups in a special non-standing committee and for the committee to then report to the Commission with specific recommendations.

D. Dean is part of a presidential commission to look into health sciences issues, and that report has been submitted to the president and provost. It was suggested that this report be presented to the Commission. This presentation will be placed on a future

Commission meeting agenda.


VI. Adjournment: There being no further business, the meeting adjourned at 4:52 p.m.

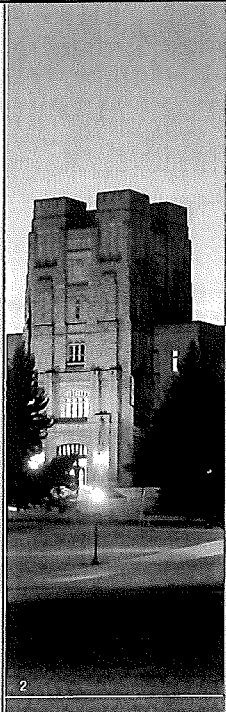
September 14, 2011



Special Research Faculty Task Force


Final Recommendations
June 2011

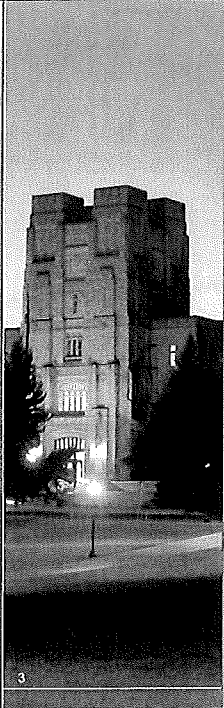




Task Force Members



- Don Taylor (Chair)
- Jack Finney
- Bill Knocke
- Michael Friedlander
- Paul Winistorfer
- Karen Roberto
- Saied Mostaghimi
- Jim Bohland
- John Dooley
- Nancy Ross
- Hal Irvin
- Sandra Muse
- Cindy Wilkinson
- Tracey Schroeder
- Laurie Coble
- Tom Campbell
- Simin Hall
- Ron Kenyon
- Andy Pereira
- Jon Hankey
- Bill Huckle
- Ken Miller (for Dwight Shelton)
- Stephen Capaldo





Charge to Committee


- Make wide-ranging recommendations regarding Special Research Faculty (SRF) members in 3 categories:
 - Things that cost money to the University but are necessary for compliance
 - Non-compliance suggestions that cost money but would improve the quality of work life for SRF
 - Things that do not cost money

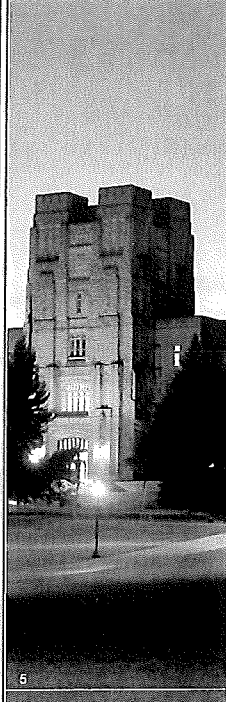


Task Force Organization

- Based on initial assessment of problem areas, the committee formed four sub-committees:
 - Compliance (Bill Knocke, Chair)
 - Classification/Governance (Jack Finney, Chair)
 - Career Opportunities/Teaching (Cindy Wilkinson, Chair)
 - Job Security (Tom Campbell, Chair)

Later Merged due to commonality of deliverables

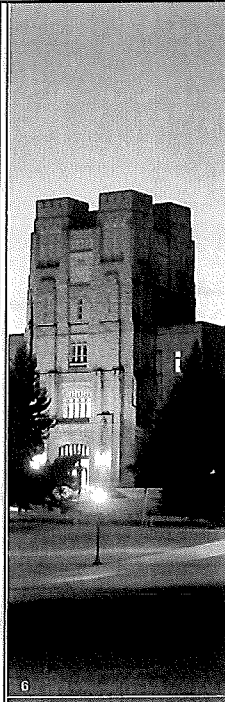





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Disclaimer


- This report shows *recommendations* only. Items 'approved' by the task force in this presentation have not yet been considered by appropriate university officials or governing bodies.



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Things that Cost Money to the University but are Necessary for Compliance







Compliance Plan

- **Brief Summary of Proposed Action:**


It is recommended that costs necessary to bring research faculty into compliance with cost accounting principles be provided by:

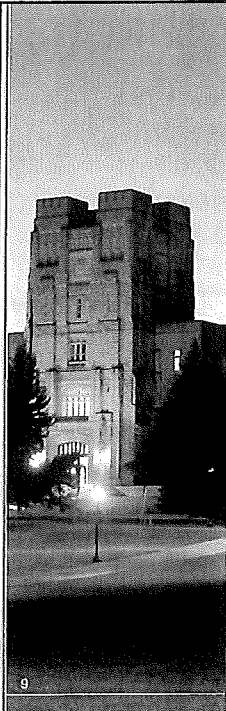
 - 1) The annual budgeting process for VTTI, VBI and VTCRI.
 - 2) Cost sharing between hiring units and a central fund for all other research faculty members, with hiring units covering 1/3 to 1/2 of compliance costs.
- **Estimated Cost:**
 - \$504,000 to \$1,150,000 based on a detailed analysis by the Compliance Sub-Committee
 - Some on the task force feel that the actual cost could exceed this estimate.

★ A proposal to make all SRF members 90% appointed to handle compliance was not supported.




Non-Compliance Suggestions that Cost Money but Would Improve the Quality of Work Life






Short-Term Disability Plan

- Brief Summary of Proposed Action (#1):
Provide short-term disability insurance to all special research faculty members.
 - Transition cost of the program from the employee to the university (through the fringe rate cost structure) over a 3-year period.
 - Insurance costs for employees not funded through sponsored programs paid by university.
- Estimated Cost:
 - \$3.92/\$10,000 of income.
 - \$343,677 during the 3-year transition, with \$238,823 being paid through fringe charges on sponsored grants.
 - Balance of \$111,854 provided annually by the university (assuming status quo at 2010 values)




Hal Irwin




Bridge Funding

- Brief Summary of Proposed Action (#2):
The SRF Task Force did not come to agreement on the structure of a bridge funding system, but does recommend that the idea be given additional attention. It was agreed that any bridge funding system should likely consist of a central pool with cost sharing from the hiring entity. It was also agreed that some 'vesting' period should be required for fund eligibility. The University of Michigan model was deemed a 'best practice' by the Task Force.
- Estimated Cost:
 - None at this time.
 - Suggest beginning with a survey of hiring entities to determine existing annual expenditures and conditions under which bridge funding is currently extended.



*No specific recommendation
How to keep people while we fix to a new grant*


*U of Michigan
Central pool
vesting period*



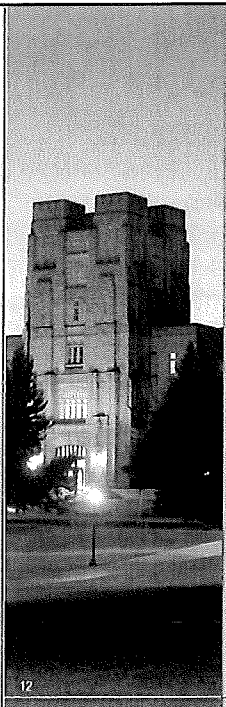
Improved Communications

- Brief Summary of Proposed Action (#3):
 - Educate hiring entities regarding the potential to provide start up funds to SRF members.
 - It is recommended that hiring entities make more frequent use of regular and multi-year (perhaps 'rolling') appointments in the SRF ranks. This is perhaps best achieved through education and clearer documentation regarding the possibility of these types of appointments
 - Increase awareness about developmental activities such as FDI courses, etc. for SRF ranks.
 - Develop awareness about advancement tracks.
- Estimated Cost:

No central cost. Some cost to hiring department or institute for start-up funds as negotiated on a case-by-case basis.

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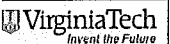
other recomm - but not top 3




Bonus Pay System

- Brief Summary of Proposed Action:

No specific bonus system is proposed by the SRF Task Force at this time, but the request is made that when considering any future bonus system (for example, a research incentive plan), all faculty members bringing in extramural funding should be considered for inclusion in the plan.
- Estimated Cost:
 - None at this time.
 - Possible future cost, likely funded by salary recovery from extramural funding.


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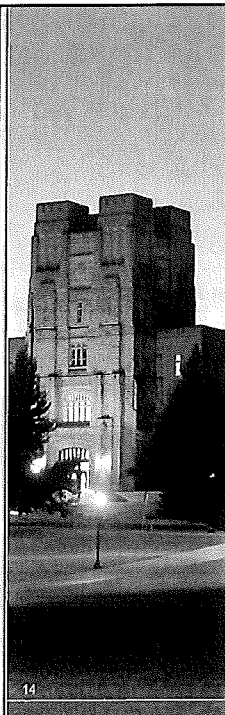
International Travel Supplemental Grant Program

- **Brief Summary of Proposed Action:**
Open ITSG Program to the following ranks; Research Scientist, Senior Research Scientist, Project Director, Research Assistant Professor, Research Associate Professor, Research Professor.
- **Estimated Cost:**
 - Opportunity loss for existing program participants.
 - 10% increase in ITSG funds requested to offset increased applicant pool starting in AY 2012.

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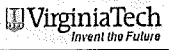



ITSG
- implemented but no more \$ from VT yet



Things that Cost Little or No Additional Money


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Representation in Governance


- **Brief Summary of Proposed Action (#1):**
It is recommended that all research faculty whose rank allows for PI status automatically or by exception should have representation on the Commission on Research. The Commission on Research would be charged with devising and implementing a plan for representation. Also, other suitable commissions should be asked to consider providing a slot for Special Research Faculty members.
- **Estimated Cost:**
No cost except for meeting/reporting time.


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Titles



- **Brief Summary of Proposed Action (#2):**
It is recommended that the word 'special' be dropped from formal titles in all cases. In the interest of transparency to outside agencies, it is recommended that the title 'research' be maintained. The Faculty Handbook Work Group will include recommendations related to titles.
- **Estimated Cost:**
No cost.

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Teaching Overload Pay

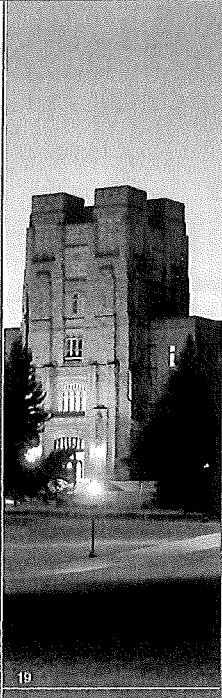
- Brief Summary of Proposed Action (#3):
 - It is recommended that the P3A-F be used to both initiate and remove temporary stipends that may be used for teaching or related duties taken on by SRF members during periods of work 'overload'. This approach has been examined and deemed appropriate by VT legal staff. VT legal staff also determined that taking on teaching roles does not in any way imply eligibility for tenure.
 - In situations in which the SRF member may benefit from a reduction in the research portion of his/her appointment, the use of 'buyout' is a viable option for teaching, advising, or other non-research efforts.
- Estimated Cost:
 - No cost in addition to Adjunct salaries paid by various academic departments (simply a larger pool of Adjuncts).

Salary Adjustment Guidelines



- Brief Summary of Proposed Action:
 - Consider changing salary adjustment guidelines when existing employees are moved into new positions when a search has occurred.
 - Make every effort to expedite the approval process for transfers and provide redundancy in signature authority (electronic as well) for approvals.
- Estimated Cost:
 - No cost.






Career Development and Promotion


- **Brief Summary of Proposed Action:**
It is recommended that greater structure be added to the promotion process for the SRF ranks. Unlike the tenure-track ranks, there is no established timeline and less documentation regarding expectations for consideration for promotion. Timelines for promotion consideration (say, every 3 to 5 years) should be published and expectations for promotion clarified. Also, a new recognition for highly productive SRF members is needed, perhaps similar to the functional title of Distinguished Research Scholar or the ADP/UDP distinction offered to tenured faculty members.
- **Estimated Cost:**
No cost.

Mentoring


- **Brief Summary of Proposed Action:**
There is currently no formal mentoring program for SRF members. The Associate Provost for Faculty Affairs has taken on the task of developing mentoring programs for all faculty members, and has agreed to add SRF members to this activity.
- **Estimated Cost:**
No cost.






Post-Doctoral Associates


- **Brief Summary of Proposed Action:**
Salaries for post-doctoral associates vary greatly in the university, even within disciplinary groups. It is recommended that Virginia Tech through the OVPR should implement a salary policy that promotes greater equity within disciplinary groups (for example, a minimum salary, acceptable range, and parity with requirements for international post-docs). Additional programs for mentoring and career development should be considered.
- **Estimated Cost:**
No cost.






Consulting Activity

- **Brief Summary of Proposed Action:**
 - It is recommended that full-time SRF members should use annual leave for external consulting, regardless of the breakdown of funding sources. Those who are not full-time should work with their supervisor to determine the appropriate amount of leave to take associated with the activity.
 - It is recommended that this be revisited by the current Task Force that is looking into the University's consulting/conflict of interest policy.
- **Estimated Cost:**
 - No cost in addition to existing leave benefits.




should use leave time to consult

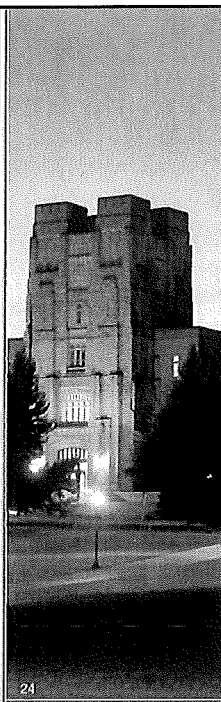


Payment of Annual Leave

- **Brief Summary of Proposed Action:**
 It is recommended that there is no reason to pursue the establishment of an annual leave funding account or associated fringe increase. Peer review indicates that most universities handle leave as we do, by charging leave to the projects funding the research. If leave is not regularly taken, required supervisor approval prevents taking excessive accrued leave during subsequent funded project work, and annual leave payouts are not made to restricted Special Research Faculty members at the end of their employment.
- **Estimated Cost:**
 No additional cost.


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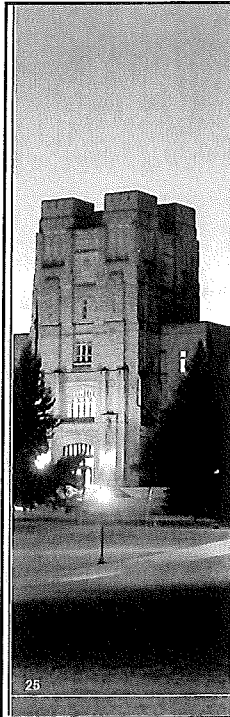
Allow merit raises on soft funds during years with no salary increases?

- **Brief Summary of Proposed Action:**
 - The recommendation was made that Virginia Tech should allow merit increases for those SRF members that have sufficient merit-based raise funds in their grants (in addition to raises for retention, promotion and equity) during periods of time when other campus groups have no merit increases.
 - The recommendation was supported by a majority of the Task Force, but the recommendation was subsequently deemed to be illegal by VT legal staff except when contractually required or when specific executive authority is granted.

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*Can't do it unless contractually required
 Recommendation to not allow*



Summary and Next Steps

- Importance of the charge
- Diversity & strength of the committee
- Strong support of sub-committee chairs (Knocke, Finney, Wilkinson & Campbell)
- Special analysis performed by Capaldo, Irvin & Miller
- Strong administrative support from Muse
- Pragmatism of results
- Compliance issues must be resolved soon
- Governance process
- Implementation & follow-up work