

IUPUI Faculty Council Committee Annual Report 2019-2020

Committee Name: Research Affairs

Chair: Jere Odell (University Library)

Members:

- Bhatwadekar, Ashay (Medicine)
 - Blum, Janice (Interim Vice Chancellor for Research) (Administrative Liaison)
 - Chu, Tien-Men (Gabe) (Dentistry)
 - Coggan, Andrew (Health & Human Sciences)
 - Cohee, Andrea (Nursing)
 - Ellsworth, Susannah (Medicine)
 - Foster, Erin (Medicine Library)
 - Goff, Philip (Liberal Arts)
 - Guiliano, Jennifer (Liberal Arts)
 - Han, Jiali (Public Health)
 - Lapish, Christopher (Science)
 - Mendonca, Marc (Medicine) (Executive Committee Liaison)
 - Na, Sungsoo (Engineering and Technology)
 - Osili, Una (Philanthropy)
 - Picard, Christine (Science)
 - Pike, Caitlin (University Library)
 - Tanaka, Hiromi (Medicine)
 - Yan, Jingwen (Informatics and Computing)
 - Zhu, Likun (Engineering and Technology)
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Action Items:

Action Item(s)	Status
Review of Draft Research Disclosure Policies	The committee reviewed the draft and holds no objections to the policy. We submitted questions and concerns regarding its implementation. These questions drew attention to the exception for the IU Foundation, existing policies regarding conflicts of interest. (See correspondence, attached.)

<p>Policy on Centers and Institutes</p>	<p>The committee reviewed PR-11-002 “Establishment of Centers and Institutes” and “Sustainability of Research Centers, Circular 2014-07”. We did not recommend any changes to these policies at this time, but supported the OVCR in its efforts to implement regular reviews of inter-school centers.</p>
<p>Center designation process – inventory of active/inactive centers as a first fact-finding step.</p>	<p>The committee contributed to an inventory of centers and reviewed documents prepared by the OVCR for centers to participate in annual reviews. The inventory, as completed by the RAC, was submitted to the OVCR. Given that the inventory is a living document, it is not provided in this report.</p>
<p>IUCRG Program – faculty input into future directions/funding priorities if the program continues.</p>	<p>The committee discussed the history of the IU Collaborative Research Grants and decided that there were no pressing issues to address at this time.</p>
<p>Collaborate with Library Affairs Committee regarding support for R1 university status.</p>	<p>IUPUI's readiness for R1 status was the main focus of the committee's work during the spring semester, prior to the COVID-19 pandemic.</p> <p>Along with the Library Affairs Committee, the RAC prepared a report on the topic (see the supplemental materials, below.) After reviewing data provided by the OVCR and the University Library, the committee concluded that R1 status for the IUPUI campus will require a change in how IU attributes R&D expenditures in the School of Medicine (IUSM). Currently, IUSM R&D is attributed to the IU Bloomington campus while IUSM faculty counts are attributed to the IUPUI campus. This practice obscures the research productivity of faculty working on the IUPUI campus. At the same time, with or without a change in how R&D is attributed, IUPUI's libraries are underfunded (by over \$8.7 million) compared the average for public R1 institutions. In the last five years library spending has remained flat even while the cost of subscriptions has increased at an annual rate of 6%.</p> <p>Our joint report with Library Affairs recommends that IUPUI consider a faculty survey to gather information about the need for research and library support.</p>

<p>Policy on funds coming from tobacco companies</p>	<p>The RAC expressed support for the Fairbanks School of Public Health's decision to refuse funding from the "Foundation for a Smoke-Free World." The committee did not decide to develop new policies on this topic. In our opinion the draft policy on "Accepting and Disclosing Research Funding" will help the faculty monitor funding from questionable sources.</p>
<p>Research strategic direction plans</p>	<p>The committee reviewed Simon Atkinson's draft report from the Feb. 2019 summit. Given Atkinson's move to another university, much of the work on this topic was addressed in the context of OVCR's transition to interim leadership by the Associate Vice Chancellor for Graduate Education, Janice Blum.</p> <p>The committee devoted the first meeting (Sept. 2019) to reports from Interim VCR, Janice Blum, regarding the aims of the OVCR for the 2019-2020 year. The committee expressed concerns regarding the office's relationship to the VPR and the OVCR's diminished web presence. The committee also recognized the increased demand on the Janice Blum's time and expressed appreciation for her willingness to provide the RAC with regular updates and transparent information.</p>
<p>Research metrics (use and misuse)</p>	<p>Thinking about how schools did and did not identify metrics for evaluating research outcomes in the strategic direction report, the committee invited Heather Coates of University Library to present recent changes in research metrics approaches. Heather Coates co-founded the IUPUI-supported site: https://www.metrics-toolkit.org/. Heather's presentation pointed to flaws in the proprietary metric known as the "Journal Impact Factor." She presented the Declaration of Research Assessment (DORA) https://sfdora.org/ and the Leiden Manifesto (http://www.leidenmanifesto.org/) as alternative approaches adopted by many universities. Coates encourages P&T committees and other research evaluators to evaluate works by their merits and not by the reputations of their publishers.</p>

<p>Use of Academic Analytics to help with incentives for awards for faculty</p>	<p>Rachel Applegate (Assistant Vice Chancellor for Faculty Affairs) provided an overview of faculty information systems in use at IUPUI and gave a detailed description of Academic Analytics (AA). According to Applegate, AA can be used by schools and departments to better understand and characterize the research output of their units. Individual faculty members may ask for access to AA, but a pre-training provided by AA is required. Although useful for identifying potential strengths of a department or center, AA has limitations. Some research areas are less likely to be included in the product (esp. those with non-federal funding and contracts) and AA should not be used in P&T.</p> <p>Applegate reported that the Library Affairs Committee is working to coordinate research metrics workshops to support P&T.</p>
<p>Description of effort of funded studies for dossiers developed for promotion and tenure</p>	<p>Rachel Applegate (Assistant Vice Chancellor for Faculty Affairs) brought to the committee's attention discrepancies in how faculty report funded-effort on CVs. Some report the percent of effort as the portion of their salary covered by the grant, while others report percent as the amount of time devoted to the grant. Applegate encourages schools to be clear about what is required in their P&T documentation and encourages faculty members to be explicit in the CV about how they report funded-effort.</p>

<p>COVID-19 Research Impacts and Planning</p>	<p>The Research Affairs Committee, like most of the campus, began meeting remotely in March 2020. At the same time, much of the focus of the committee's work shifted to reviewing plans for remote research arrangements and plans for a safe, restart of on-site research. Several members of the RAC also served on the COVID-19 Scenario Planning Research Taskforce for IUPUI led by the Interim Vice Chancellor for Research, Janice Blum. The RAC contributed to the Taskforce's work by soliciting feedback from researchers in IUPUI schools regarding the impact of potential reopening scenarios. This feedback was acquired by circulating the planning matrix and by circulating an anonymous survey to members of the IUPUI Faculty Council. (In some cases, this anonymous survey was recirculated by FC members to researchers in their centers and departments.) The RAC drafted a report summarizing the survey results. The RAC shared this summary along with matrices contributed by several IUPUI school with the Research Taskforce. The RAC also provided comments on the guidance developed by the Taskforce.</p>
<p>IU's change from 501 C 3 status and impact on researchers</p>	<p>A member of the RAC learned that the university planned to change its 501 C 3 status in response to recent changes in tax law. RAC members expressed concern that the change would result in loss of eligibility for grants from some funders. Others were concerned that the change could impact the financial aid packages of graduate students. To address these concerns, the RAC invited Steve Martin (Office of Research Administration) and Marvin Smith (Student Financial Services) to respond. Both pointed to the fact that the U. of Minnesota has operated under the desired stats for many years with no impacts to students and researchers. Martin informed the committee that IU is waiting on a response from the IRS and that the change is not yet in effect. When the change is approved the ORA will notify all non-profit and foundation funders of current IU awards. Those that require 501 C 3 will be directed to work with the IU Foundation to ensure that researchers are eligible to submit proposals and receive awards.</p>

Clinical trials registration and OnCore	In the RAC's May 2020 meeting, the committee discussed federal clinical trials reporting requirements and the university's use of the OnCore tracking system. Some investigators, particularly those with multi-site studies, have expressed frustration with the federal requirements.
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Action Items to be carried over to 2020-2021:

Action Item(s)	Status
Limited submission assignments to campuses	Unaddressed.
Indirect Cost Recovery guidelines to the IFC. Review campus, university, and unit (school) use of ICR funds	The committee discussed the difficulty of acquiring data about how ICR funds are used in schools. After consulting with the OVCR, we decided to wait for information from the Council of Associate Deans for Research (CAD). Given the complexity of this issue, it is likely to be a recurring topic for the RAC to monitor and/or address.
Monitoring of the Grand Challenges	Unaddressed.

Suggested new action items for 2020-2021:

Action Item(s)	Status
COVID-19 research response	
COVID-19 research incentives	
Monitor the Racial Justice Research Fund and other efforts to support diversity, equity, and inclusion in research at IUPUI	

Please attach any completed documents, minutes, or recommendations made by your committee during this report year. One copy of this report and supporting documents will be sent to the IUPUI University Archives.

Report due: June 30, 2020

Submit to: Karen Lee
Office of the Faculty Council
klee2@iupui.edu

IFC Research Affairs Committee
September 23, 2019, 9:00-10am
University Library 2115 G

Agenda

Join from PC, Mac, Linux, iOS or Android: <https://iu.zoom.us/j/361094437>

Or Telephone:

Dial: +1 646 558 8656 (US Toll) or +1 669 900 6833 (US Toll)

Meeting ID: 361 094 437

International numbers available: <https://zoom.us/j/361094437>

Chair: Jere Odell (jdodell@iupui.edu)

Note taker for Sept. 23: Erin Foster (erdfost@iu.edu)

Box folder: <https://iu.box.com/s/5k8bdb1c6wrxlmdxtuelo0r5xmbekjxp>

1. Introductions
2. Volunteer for note taking at October 28 (9am, UL 2115 G) meeting?
3. Interim VCR, Janice Blum: plans and directions of the OVCR in 2019-2020
4. Review and analysis of draft: "Policy on Accepting and Disclosing Research Funding"
5. RAC 2019-2020: Overview of assignments
 - a. As listed:
 - Limited submission assignments to campuses
 - Review of Draft Research Disclosure Policies
 - Policy on Centers and Institutes
 - Indirect Cost Recovery guidelines to the IFC. Review campus, university, and unit (school) use of ICR funds.
 - Center designation process – inventory of active/inactive centers as a first fact-finding step.
 - IUCRG Program – faculty input into future directions/funding priorities if the program continues.
 - Collaborate with Library Affairs Committee regarding support for R1 university status.
 - Monitoring of the Grand Challenges
 - Policy on Proposing funds coming from tobacco companies
 - Research strategic direction plans
 - Use of Academic Analytics to help with incentives for awards for faculty.
 - Description of effort of funded studies for dossiers developed for promotion and tenure.

- b. New items?
- 6. Setting Priorities for the Term
 - a. Any urgent items? (To address before the end of December 2019?)
 - b. Long-term efforts (To complete by end of April 2020?)
 - c. Low-hanging fruit?
 - d. Assignments beyond scope of committee in this term?
- 7. Other questions or concerns?
- 8. Adjourn

2019-09-23
Research Affairs Committee
University Library 2115G
9-10am

Meeting Minutes

- Note taker: Erin Foster

Agenda/notes:

1. Introductions: Jere Odell, Andrea Cohee, Christine Picard, Ashay Bhatwadekar, Andrew Coggan, Erin Foster, Janice Blum, Sungsoo Na, Jiali Han, Gabe Chu, Christopher Lapish, Marc Mendonca, Phil Goff, Jingwen Yan, Caitlin Pike
2. Volunteer for note taker for October 28th meeting?
 - Marc Mendonca volunteered (if here)
3. Interim Vice Chancellor for Research (VCR) - Janice Blum attended and discussed plans & directions for OVCR moving forward:
 - Dr. Blum comes from IUSM; coming also from position as Associate VC for Graduate Education (IU); holds Adjunct Assoc. Dean position at Purdue Graduate School as well → these appointments/partnerships allow for the ability to access data from both universities, which is helpful in capturing a holistic view of graduate affairs at both schools
 - For IUPUI & IUB (excepting IUSM), tuition dollars overall including in graduate and professional programs (and in general) brings significant revenue to the institution some of which can support research enterprise as well as student research → important to have graduate programs be strong due to that
 - Dr. Blum reports growth overall in graduate enrollment numbers at IUPUI; due to moving over some PhD programs from Purdue and also establishing new degree tracks
 - Has been successful in AVC role in Graduate Education and sees that as reason selected for role of interim VCR at IUPUI
 - Administration sees the intersection of Graduate and Research as beneficial since graduate students drive a lot of research
 - Blum's goal will be to see how offices will work together – support faculty research and graduate populations
 - Worked with Simon Atkinson (former VCR) to consider how to “merge” Graduate and Research offices; Dr. Blum proposed 3 plans to handle merging/jurisdiction of offices:
 - Remain separate with 1 leader (Blum favors this one at this time)
 - Complete merger of two offices
 - Leave separate with 2 leaders (as is)
 - Has spent first months familiarizing self with IUPUI Research Office and determining/learning more about what IU wants from research at IUPUI and across IU
 - How does funding work for IUPUI Research Office?

- Funds (for staff salaries and research awards) come from campus administration and are derived from a variety of sources including tax on schools for administrative unit support and indirect cost recovery to support research awards
- Total budget about \$6 million
 - These funds come from indirect cost recovery from grants, gifts and awards to campus. A percentage is taken off the top by the President and VPR central.
 - \$2.5 million is shaved off the top to cover costs of loan repayment on a research building on campus Estimate have about \$3.5 million to distribute for research funding
- OVCR pays into 2 of the Grand Challenges – using residual signature center funding, this is a separate pot of money from rest of research award budget
- Currently meeting with IUPUI Research Office staff to understand their needs/concerns, how they engage with folks on the campus, and what areas to prioritize
- Learning how to navigate landscape related to research oversight at IU overall and the emphasis on certain areas of research (e.g., military/defense) while looking to make space for other areas of research
- Briefly discussed website – IU Research web presence consolidated (<https://research.iu.edu/>) as we know; other website is IUPUI Research (<https://www.iupui.edu/research/index.html>) – Dr. Blum will work to develop this and make more user friendly, but will take time
- (some) Goals/priorities for Dr. Blum is this role:
 - Determine how funding is spent and strengthen evaluation process for IUPUI Research Office funded research and effectiveness of programs offered by the Research Office to support grant proposal submission, commercialization and partnerships with industry
 - Make IUPUI Research Office more transparent in reporting on funded awards and processes
 - Encourage more interdisciplinary research (with support of IUPUI Deans)
 - Encourage alignment of priorities for funding that is brought in by different Schools in support of research goals
- Dr. Blum sees connection with RAC as important in touching base to understand/verify that communication is getting out to IUPUI faculty/campus as it relates to research priorities, etc. She is also interested in helping RAC members with their goals to review campus and institutional policies and processes.

Questions/Discussion:

1. Who does Dr. Blum (as the VCR) answer to?
 - Nasser Paydar (IUPUI Chancellor), Kathy Johnson (IUPUI Exec VC/Chief Academic Officer), Fred Cate (IU Vice Chair for Research), James Wimbush (IU Graduate School Dean – in AVC role)

2. Ongoing conversation/discussion about how funding is reported for external funders (NSF, NIH, etc.) → idea is that it will eventually all read as “IU”; however, at the moment, it can read as “IUPUI/IUB” for IUPUI folks
 - These conversations/discussions take place with the Office of Research Administration (Steve Martin, AVP)

 4. Review and analysis of “Policy on Accepting and Disclosing Research Funding”
 - Odell introduced policy and asks if anyone on the committee can provide background as to why this policy is up for review now
 - Mendonca on Policy Review Committee → the discussion of this policy came out of review of “all” IU policies; goal is to conflate 4 existing policies on this area
 - Potential conflict between points 5 & 6; Mendonca mentioned that often these two were conflated so this update acknowledges that reality
 - Odell asked if the updates to this policy restricts faculty in any additional ways in terms of research?
- Action item:** Odell asks that committee members send concerns; once received, Odell will draft a short paragraph, send for review to committee members, and then send to John Watson (requestor)
5. RAC 2019-2020 – overview of assignments
 - Did not get to discuss in depth due to time
 - Odell asks that committee members send thoughts and let him know if certain items can get be dealt with easily (i.e., low hanging fruit) and/or if any need more clarification is needed for any of these items

 6. Setting Priorities for the Term – did not address

 7. Other questions/concerns?
 - None voiced

Adjourned at 10:06am

Friday, October 4, 2019

Dear John Watson,

In reviewing the draft "Policy on Accepting and Disclosing Research Funding," the Research Affairs Committee identified a few issues of concern, but holds no objections to the policy.

Our concerns include:

Disclosure Exceptions for IU Foundation: While we understand that the IU Foundation has an important role in nurturing relationships with current and potential donors, exempting the Foundation from disclosure policies means that faculty are held to higher standards than the Foundation. This further disadvantages faculty in efforts to seek and secure philanthropic funding that would support research on the IUPUI campus. The Research Affairs Committee supports the principle of transparency, but believes that it could be more equitably applied.

Compliance: Researchers are already required to disclose conflicts of interest and commitment on an annual basis. Will there be a similar effort to ensure that faculty are complying with this policy? If so, we are concerned that this will complicate the conflicts of interest compliance process. Is it possible that the two could be confused?

Definitions: What, exactly, is meant by "prior sponsor approval"? Funders and researchers might have different understandings of "prior approval." If, for example, a private funder (such as the Gates Foundation) has a public access requirement for the dissemination of research outcomes, would this policy render research grants from that funder ineligible? Would faculty have to guess or seek exceptions just-in-case?

Thanks for the opportunity to review this draft policy.

Sincerely,

IFC Research Affairs Committee 2019-2020

Jere Odell, Chair

IFC Research Affairs Committee
October 28, 2019, 9:00-10am
University Library 2115 G

Agenda

Join from PC, Mac, Linux, iOS or Android: <https://iu.zoom.us/j/361094437>

Or Telephone:

Dial: +1 646 558 8656 (US Toll) or +1 669 900 6833 (US Toll)

Meeting ID: 361 094 437

International numbers available: <https://zoom.us/j/361094437>

Chair: Jere Odell (jdodell@iupui.edu)

Note taker for Oct. 28: Marc Mendonca (mmendonc@iupui.edu)

Box folder: <https://iu.box.com/s/5k8bdb1c6wrxlmdxtuelo0r5xmbejkxp>

1. Volunteer for note taking at November 18 (9am, UL 2115 G) meeting?
2. Approve minutes from last meeting. See:
<https://iu.box.com/s/qsu0d54ifwh4znfx1yhaq95x1g8msiht>
3. Overview of assignments (Jere Odell, 5 min.):
 - a. See draft calendar of assignments:
<https://iu.box.com/s/s4uczsu9djdjy6rqfs967niliesrkmt1>
4. Proposed (Jere Odell, 5 min.): **Tobacco funding**
 - a. The RAC Committee expresses support for the Fairbanks School of Public Health's endorsement of the WHO's call to refuse funding from a foundation backed by Philip Morris International, the "Foundation for a Smoke-Free World." (Read more about this issue:
<https://iu.box.com/s/unoco3w8508xr5uyc16y5fhyc20898iz>)
5. Assignment (Janice Blum, 20 min.): **Inventory of Centers**
(Due end of December 2019).
 - a. See draft inventory: <https://iu.box.com/s/9xk1qofwy2si9x8m1ja52dos18p5b97d>
 - b. Action Items/Volunteers needed to:
 - Identify any missing school-based centers
 - Confirm current information about centers
6. Assignment (Janice Blum, 20 min.): **Review of Policies related to Centers**
 - a. Action Items/Volunteers needed to:

- Provide feedback to OVCR on documents relevant to Centers and review of centers

7. Announcement, issues, questions, other?

8. Adjourn

From: [Odell, Jere](#)
To: [Bhatwadekar, Ashay D](#); [Blum, Janice S.](#); [Cassidy, Sue](#); [Chu, Tien-Min Gabriel](#); [Coggan, Andrew Richard](#); [Cohee, Andrea Alise](#); [Cummins, Kasey Alyssa](#); [Ellsworth, Susannah Gabrielle](#); [Foster, Erin D](#); [Goff, Philip Kevin](#); [Guiliano, Jennifer](#); [Han, Jiali](#); [Lapish, Christopher C.](#); [Lee, Karen](#); [Mendonca, Marc S.](#); [Na, Sungsoo](#); [Odell, Jere](#); [Osili, Una O](#); [Picard, Christine Johanna](#); [Pike, Caitlin Ann](#); [Tanaka, Hiromi](#); [Turman, Jack Edward](#); [Yan, Jingwen](#); [Zhu, Likun](#)
Subject: Research Affairs Committee: Assignment - Tobacco funding
Date: Tuesday, October 15, 2019 5:24:00 PM

Dear Research Affairs Committee,

We have a full list of assignments for the year. For some assignments, I think it would be worth our while to consider the issues (and discuss, if needed) ahead of meetings--one of these would be the issue of tobacco funding for research.

[Short version of this email: I think the RAC could express support for the decision of the Fairbanks School of Public Health to refuse funding from the "Foundation for a Smoke-Free World." I do not think that we need to draft a faculty governance policy. Let me know if you disagree.]

For context:

Jiali Han and Gerardo Maupome (of the School of Public Health) have shared elements of the following with me:

In Sept. 2017, the WHO released a statement to inform the public health community and others that Philip Morris International (PMI) was bankrolling a "Foundation for a Smoke-Free World." The WHO doubts the intentions of PMI's foundation and reminds readers of the company's history of misleading the public. The WHO called on governments and others in the public health community to not partner with the foundation. See: <https://www.who.int/news-room/detail/28-09-2017-who-statement-on-philip-morris-funded-foundation-for-a-smoke-free-world>

In January 2018, the deans of several North America schools of Public Health signed an endorsement of the WHO statement (<https://www.jhsph.edu/about/dean-mackenzie/news-headlines/smoke-free-world.html>). In this document, hosted at Johns Hopkins University, the Deans announce that their "schools are **not** accepting funding from or pursuing work with this Foundation." The JHU statement includes the signature of Dean Paul Halverson of our Fairbanks School of Public Health.

I have heard of no subsequent developments on the IUPUI campus. But, there are some recent reports that indicate that PMI's Foundation is spending more on PR than on research & that it has failed to raise funding from other (non-PMI) sources (see, for example: https://tobaccotactics.org/images/9/92/STOP_FSFW_Taxfiling_20june.pdf).

I think the RAC could express its support for Dean Halverson's signature on the JHU statement. But, at this point, I do not think it would be productive for the RAC to draft a policy on the topic. I believe that the draft policy on the disclosure of research funding (<https://iu.box.com/s/2uk2t3gs21cpyu78r53aulbj9pv52t6z>) will provide sufficient pressure on investigators to avoid funding from sources like PMI's Foundation for a Smoke-Free World. Likewise, I worry about venturing down a road toward drafting a policy for every potentially scandalous

funding source. (In addition, the School of Public Health, as far as I know, has not developed a faculty governance policy on this topic.)

If any of you have other information to share about the JHU statement or about this assignment, please let me know. Likewise, if anyone thinks that we should devote a substantial portion a meeting to discuss it, please let me know. If not, we will give 5-10 minutes to the topic in our October 28 meeting and move on to other work.

Sincerely,

Jere

Jere Odell
Scholarly Communication Librarian
IUPUI University Library
755 W. Michigan St.
Indianapolis, IN 46202
(317) 274-5992
<https://ulib.iupui.edu/digitalscholarship/people/jereodell>
<http://orcid.org/0000-0001-5455-1471>

**IFC Research Affairs Committee
November 18, 2019, 9:00-10am
University Library 2115 G**

Agenda

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Or Telephone:

Dial: +1 646 558 8656 (US Toll) or +1 669 900 6833 (US Toll)

Meeting ID: 361 094 437

International numbers available: <https://zoom.us/j/361094437>

Chair: Jere Odell (jdodell@iupui.edu)

Note taker for Nov. 18?

Box folder: <https://iu.box.com/s/5k8bdb1c6wrxlmdxtuelo0r5xmbejxpx>

1. Volunteer for note taking at December 16 (9am, UL 2115 G) meeting?
2. Assignment: (Guest: Heather Coates) **Research Metrics (use and misuse):**
Related resources and documents:
Metrics Toolkit: <https://www.metrics-toolkit.org/>
San Francisco Declaration on Research Assessment (DORA):
<https://sfдора.org/>
3. Assignment: (Janice Blum/Jere Odell) **Research Strategic Dialogue Summary Draft Report/Follow up:**
 - a. See draft report. Note: This draft is pending responses from some schools:
<https://iu.box.com/s/5xse9fiy0adty7nwa7e672fclme2052d>
 - b. Questions:
 - Do the “common metrics” in this draft report represent approaches to research assessment in your school/department/field?
 - What other metrics does your school/department/field use?
 - Would your school or department like assistance in identifying alternative to these “common metrics”?
4. Assignment Continued from Oct. 28: **Review of Policies related to Centers**
 - a. Action Items/Volunteers needed to:
 - Review the draft: “Establishment, Approval and Review of Centers and Institutes at IUPUI” (2-3 people; please see comments seeking feedback from RAC). See:
<https://iu.box.com/s/cf0i83hach26m8j3bv03us5gzp48jdea>
 - Due date: ?

5. Announcement, issues, questions, other?

Any interest in exploring the implications of the Draft NIH Policy for Data Management and Sharing and Supplemental Draft Guidance (November 2019)?

<https://osp.od.nih.gov/scientific-sharing/nih-data-management-and-sharing-activities-related-to-public-access-and-open-science/>

6. Adjourn

IFC Research Affairs Committee
November 18, 2019, 9:00-10am
University Library 2115 G

Minutes

Heather Coates: Research Metrics (use and misuse): please view Heather's presentation on Box (<https://iu.app.box.com/file/560478486563>)

Discussion: Different metrics measure different things. There is a fair amount of variance and unreliability in the JIF (Journal Impact Factor). A description of how the JIF is calculated is available from: <https://www.metrics-toolkit.org/journal-impact-factor/>. This metric works well for Physical and Life Sciences but not so well for Social Sciences and Humanities. Metrics should not be used to compare authors in different disciplines because publishing practices are discipline specific. The P&T candidates need to put the metrics into context for reviewers. Letters from schools, colleagues, and external reviewers are the most important focus. Faculty need to ensure that at the department level, the metrics being used in the process match the expectations of the school and discipline. Peer review is very important, judging the quality of the work not just comparing metrics. It is up to the candidate to emphasize their work. When P&T candidates are trying to get their articles published, they need to keep in mind that it may take a year to a year and a half to get them in the higher JIF ranked journals. This can really hurt them in the P&T process. Trying to have articles accepted in journals with a JIF of 10 or higher may be extremely stressful and next to impossible in some disciplines. They should stop focusing on citations and look at the quality of work.

An alternative for schools and departments would be to track highly cited articles by their authors. In general, focusing on metrics at the article-level increases the likelihood that authors will be rewarded for the actual impact of their work instead of the impact of works published in the same journal. But, as with all metrics, reviewers should be aware of the potential to game the system.

Some journals actively work to increase their impact factor and selectively publish articles to boost that ranking, but the impact factor of the journal does not indicate all the papers within that journal are highly cited (65-85% of articles receive fewer citations than the JIF value). Researchers have to spend a lot of time and energy to get their work out. Most researchers don't have time to wait on being accepted by journals. Jere would encourage RAC members to look for metrics that would serve their schools better.

Jere would like the committee members to also look at the Leiden Manifesto for research metrics <https://iu.app.box.com/file/560364440659>

(Janice Blum/Jere Odell) Research Strategic Dialogue Summary Draft Report/Follow up:

This is the summary that Simon Atkinson put together; Sue Cassidy can give RAC members access to the Box site for school strategic plans. The Chancellor will meet with each dean once or twice a year to discuss their plan and their progress. Jere would encourage RAC members to look at their school's plan and consider whether or not the suggested metrics will reflect the progress of their research.

Assignment Continued from Oct. 28: Review of Policies related to Centers

- a. Action Items/Volunteers needed to:

- Review the draft: “Establishment, Approval and Review of Centers and Institutes at IUPUI” (2-3 people; please see comments seeking feedback from RAC). See: <https://iu.box.com/s/cf0i83hach26m8j3bv03us5gzp48jdea>

Phil Goff, Marc Mendonca and Andrea Cohee agreed to review the document. Jere will send them the updated document and a reminder email. RAC can let Janice Blum know if they have any questions on what constitutes a center. Some centers are not really “centers” and sometimes deans call projects “centers.” This has always been a difficult topic because there has always been a large number of centers that are never reviewed or approved. The guidelines need to be followed.

Announcement, issues, questions, other:

- Janice Blum has finalized the position description for the Associate Vice Chancellor for Research. She has also selected a search committee.
- Janice Blum also sent the CAD and the Academic Deans an email regarding returned funding (money that had to be returned from grants). Fred Cate will be having a meeting on this topic this week. Most of the returned money came from the SOM. Blum shared a document that listed the amounts returned by school. She received many emails from associate deans explaining why the funds were returned. The schools need to look at the numbers and have some conversations about how they can minimize this occurrence in the future. Sometimes faculty move and take funds with them, sometimes people don't spend all of the money or some PIs ask for extra money to ensure that they don't run out of funding.
- Travel security is becoming an important issue with increased federal agency review to secure and protect intellectual property, electronic information, and review of international collaborations and partnerships. NIH appears to be playing a key role in these recent policies.
- Janice Blum will be attending a meeting with external reviewers of the Addictions Grand Challenge (meeting will be conducted by Fred Cate's office).

Adjourn

Better options for evaluating research in P&T: The problems with publication metrics

IUPUI Faculty Council Research Affairs Committee
November 18, 2019

Heather Coates, MS, MLS
Digital Scholarship & Data Management Librarian
IUPUI University Library Center for Digital Scholarship



We aren't measuring what we value

Commonly used metrics

- Journal Impact Factor
- Journal ranking lists
- Citation counts

IUPUI goals & values

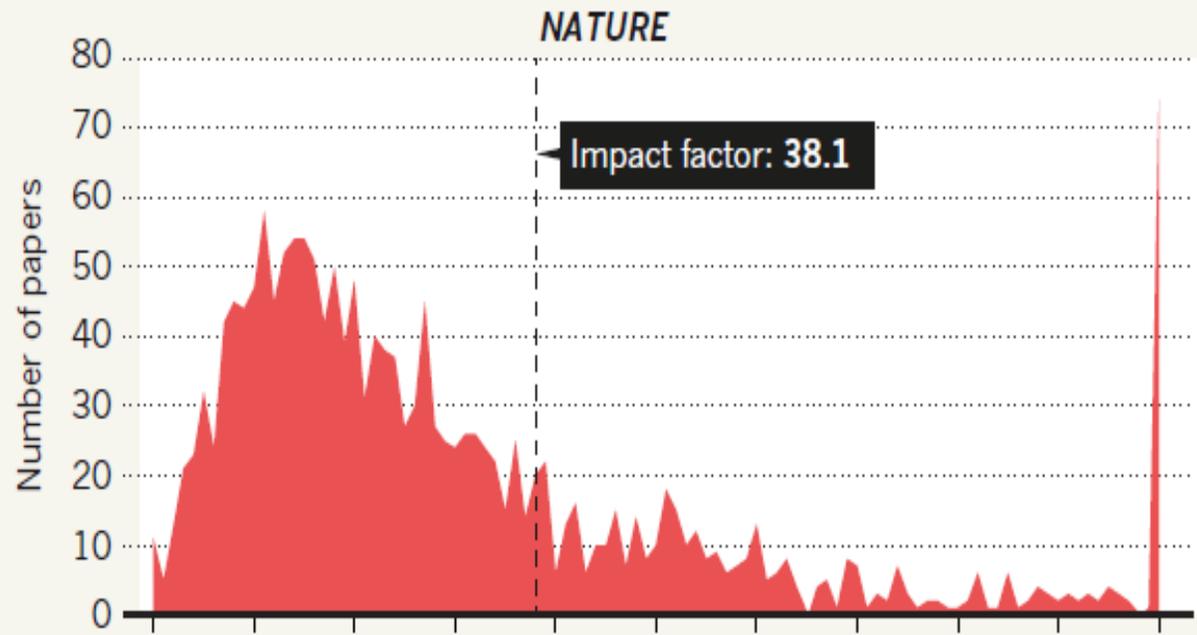
- Civic engagement
- Collaboration
- Diversity, Equity, Inclusion
- Economic Development of Indiana
- Entrepreneurial Work & Innovation
- Interdisciplinary Work & Publication
- Interprofessional Education
- Open Access
- Public Scholarship
- Translational Research



Journal Impact Factor \neq high impact research

THE IMPACT FACTOR'S LONG TAIL

Journal impact factors are influenced heavily by a small number of highly cited papers. For all journals analysed, most papers published in 2013–14 garnered many fewer citations than indicated by the impact factor.



Journal Impact Factor Calculation

$$\text{2018 Journal Impact Factor} = \frac{73,952}{1,717} = 43.070$$

How is Journal Impact Factor Calculated?

$$\text{JIF} = \frac{\text{Citations in 2018 to items published in 2016 (41,183) + 2017 (32,769)}}{\text{Number of citable items in 2016 (880) + 2017 (837)}} = \frac{73,952}{1,717}$$



Measuring impact on society

Advancing Knowledge

Publications, citations, patents

Community Benefit

Identifying needs, giving members a voice

Economic Benefit

Job growth, reduced prices, expanded services

Legislation & Policy

Citations or mentions, new or changed programs

Translating Research
into Practice

Practice guidelines, new treatments or services

What about other scholarly products?

- Conference presentations & posters
- Books & chapters
- Digital collections & projects
- White papers & reports
- Professional practice tools & resources
- Data
- Software & code
- Algorithms & models

“altmetrics” describe a variety of metrics derived from online discussion and use of scholarly products; often, traces to the original context are made visible

- Views
- Downloads
- Likes
- Shares
- Retweets

Practical options for measuring what we value

- Place greater emphasis on peer review for evaluating the quality of scholarship for P&T
- Place greater emphasis on article-level metrics, or item-level metrics for other types of scholarly products, as indicators of impact for P&T
 - Citations (normalized citation metrics when available)
 - Downloads
 - Contextual information for the citation
- De-emphasize journal metrics in evaluating individuals for P&T
- Stop using the Journal Impact Factor as an indicator of quality or impact for authors or articles

What can you do?

- Have discussions about what your department values in research and use those values for evaluating candidates for P&T
- Endorse the Leiden Manifesto

Support

- Presentations and workshops for
 - Faculty candidates in your school or department
 - P&T Committee Chairs, Department Chairs, & Associate Deans
 - Discussions about metrics that support your values and goals
- Individual consultations
 - Planning related to scholarly profiles, dissemination, metrics, etc.
 - Gathering publication metrics
 - Reporting and using publication metrics

**IFC Research Affairs Committee
December 16, 2019, 9:00-10am
University Library 2115 G**

Agenda

Join from PC, Mac, Linux, iOS or Android: <https://iu.zoom.us/j/361094437>

Or Telephone:

Dial: +1 646 558 8656 (US Toll) or +1 669 900 6833 (US Toll)

Meeting ID: 361 094 437

International numbers available: <https://zoom.us/j/361094437>

Chair: Jere Odell (jdodell@iupui.edu)

Box folder: <https://iu.box.com/s/5k8bdb1c6wrxlmdxtuelo0r5xmbejkxp>

1. Assignment: (Guest: Rachel Applegate) **Academic Analytics**
(<https://academicanalytics.com/>)
2. Assignment: (Guest: Rachel Applegate) **Description of funded effort on dossiers**
3. Next steps on review of polices for Centers:
 - a. Guidelines: <https://iu.box.com/s/cf0i83hach26m8j3bv03us5gzp48jdea>
 - b. Center Self-Studies: <https://iu.box.com/s/475o6co5ocvalgvk2mxth91vo9yc6tdj>
 - c. Questionnaire for Centers:
<https://iu.box.com/s/xiz72g1rj03dkrdg9vq6m46eaol4rtz3>
4. Next steps on research metrics topics?
 - a. Principles described in Leiden manifesto?
<https://iu.box.com/s/g8fm671209rufpyleaj1hrq66wgod88p>
 - b. Schools with specific/custom metrics needs? Beyond what is described here:
<https://iu.box.com/s/5xse9fiy0adty7nwa7e672fclme2052d>
5. Announcement, issues, questions, other?
6. Adjourn

IFC Research Affairs Committee
December 16, 2019, 9:00-10am
University Library 2115 G

Minutes

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Chair: Jere Odell (jdodell@iupui.edu)

Box folder: <https://iu.box.com/s/5k8bdb1c6wrxlmdxtuelo0r5xmbejkxp>

1. Assignment: (Guest: Rachel Applegate) **Academic Analytics**
(<https://academicanalytics.com/>)
 - IUPUI spends ~ \$200,000 a year for this resource
 - Included: grants, awards, publications, suggested awards
 - Can be used to review Centers because you can cluster people
 - Provides comparisons between our university and other research-intensive universities
 - Only tenure-track faculty, doctoral-producing units
 - Access is limited to the school or unit one is housed in with the exception of patents
 - Document: faculty and research information systems IUPUI
 - Comparatives are a moving 4-year window and can be customized; can compare by AAU membership and Carnegie classification
 - PIVOT Gallery is more usable for individual faculty members- can help find collaborators
 - PIVOT, PIVOT Gallery, and AA all pull from the same national database for grants
 - Law is left out, Humanities are poorly represented
 - Access: Council of Associate Deans for Research, Deans, a couple of Chairs, and individuals who sit through the 1-hour training
 - Could be used as a way to recruit- search for candidates who meet a set of criteria
2. Assignment: (Guest: Rachel Applegate) **Description of funded effort on dossiers**
 - How to account for effort
 - Separate by: how much of your salary did you bring in, what is your intellectual contribution to the project, AND amount of your time is spent on a project

- Could be broken down in the cv, in the dossier, and DMAI
3. Next steps on review of polices for Centers:
 - a. Guidelines: <https://iu.box.com/s/cf0i83hach26m8j3bv03us5gzp48jdea>
 - b. Center Self-Studies: <https://iu.box.com/s/475o6co5ocvalgvk2mxth91vo9yc6tdj>
 - c. Questionnaire for Centers:
<https://iu.box.com/s/xiz72g1rj03dkrdg9vq6m46eaol4rtz3>
 4. Next steps on research metrics topics?
 - a. Principles described in Leiden manifesto?
<https://iu.box.com/s/g8fm671209rufpyleaj1hrq66wgod88p>
 - b. Schools with specific/custom metrics needs? Beyond what is described here:
<https://iu.box.com/s/5xse9fiy0adty7nwa7e672fclme2052d>
 5. Announcement, issues, questions, other?
 - Campus is changing from a 501c3 to a 1071b(?) that will affect public funding
 - May require sending a letter to funders
 - Won't change for IU Foundation but will change for IU
 - Because of how much the coaches are paid
 6. Adjourn

Faculty and Research Information Systems
IUPUI

Green	Indicates the single best source
Yellow	Indicates a resource

Experts →	OAA	OVCR	OVCR	OAA	ULIB	ULIB
Uses	Academic Analytics	Pivot	Pivot Gallery	DMAI	Google Scholar	ORCID
Identifying experts for interviews			x			Provides unified identification across systems
Creating annual or highlight reports of accomplishments				x		
Program review, periodic/accreditation	x			x		
Program proposals, reviewing new ones	x					
Finding funding for a topic	x	x				
Finding funding for an individual faculty member	x	x				
Finding awards that might be applied for	x	x				
Finding collaborators	x		x			
Finding external reviewers	x		x			
Finding mentors	x		x			
Evaluating faculty achievements	x			x	x	
Evaluating centers	x					
Evaluating results of internal grants	x			x	x	
Primary users→	Admin	Faculty	Faculty	Admin	Faculty, Admin	Faculty

Other tools include: The Collaboratory, IUSM Elsevier...?

IFC Research Affairs Committee
January 27, 2020, 9:00-10am
University Library 2115 G

Agenda

Join from PC, Mac, Linux, iOS or Android: <https://iu.zoom.us/j/361094437>

Or Telephone:

Dial: +1 646 558 8656 (US Toll) or +1 669 900 6833 (US Toll)

Meeting ID: 361 094 437

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Chair: Jere Odell (jdodell@iupui.edu)

Box folder: <https://iu.box.com/s/5k8bdb1c6wrxlmdxtuelo0r5xmbejxpx>

1. Next steps on review of polices for Centers:
 - a. Nominate 2 or 3 Center directors to review documents
 - b. Approval of Guidelines:
<https://iu.box.com/s/cf0i83hach26m8j3bv03us5gzp48jdea>
 - c. Any other comments or questions about the following?
 - Questionnaire for Centers:
<https://iu.box.com/s/xiz72g1rj03dkrdg9vq6m46eaol4rtz3>
 - Guide for Center Annual Reviews (SEIRI and IAHI, perhaps TRIP): A 14 question guide for center annual review, to be signed by the center's director: <https://iu.box.com/s/q50xroxor7ned2sky0ygpqy2a1vrtgdj>
 - Center Self-Studies:
<https://iu.box.com/s/475o6co5ocvalgvk2mxth91vo9yc6tdj>
2. Assignment: "Indirect Recovery Costs":
 - a. Review of 10 years of RAC actions regarding, IRCs:
<https://iu.box.com/s/uq5nuhq35gu7beook7j36jbrhmk3p7xq>
(In short: In 2011 the RAC recommended that, at minimum, 10% of ICRs be returned to PIs/Center directors in all campus schools. Further study was requested by the IFC. A few years later, a policy was adopted to seek 10% of ICRs for Centers, see below.)
 - b. Existing policy: "Sustainability of Centers", Circular 2014-07:
https://facultycouncil.iupui.edu/Media/FCContent/committees/research_affairs/sustainability_inter-school_Centers_9-2-14.pdf
 - c. Any next steps needed?
3. Moving meeting time for Feb., April, May?
4. Metrics/Academic Analytics? Any questions? Issues needing next steps or follow up?
5. Announcement, issues, questions, other?

IFC Research Affairs Committee
January 27, 2020 9:00-10am
University Library 2115 G

Minutes

Center Review Policies

Discussion:

There are several types of centers: 1) School: funded and maintained by a school; 2) Campus: funded by the campus; and 3) University: funded by IU centrally

Comments shared during the discussion:

- Campus administration is asking all centers at IUPUI to be reviewed by external reviewers every 5 years. The Vice Provost for Research and IU Vice President for Research similarly require reviews for campus/university-supported centers and institutes (typically every 5 years). The university policy document RP-11-002 indicates all centers/institutes should have developed “criteria for and plans to provide periodic reviews and assessments of the contributions of the center to the school and the university (specific criteria and plans to be arrived at in consultation with the appropriate administration representative).”
- At IUPUI for the five-year review, center directors can work with Stephen Hundley (Senior Advisor to the Chancellor for Planning and Development) and the Vice Chancellor for Research to formalize their process for review. Review planning involves development of report, identification of topics/questions related to center/institute success and goals, and the identification of external and internal reviewers. As part of that process the center can choose external reviewers, and Stephen will help with invitations/scheduling reviewers and will split cost with the center. Cost should be around \$5,000 (travel, hotel and some meals). Centers would be required to follow the guidelines under discussion. OVCR will also reach out to a few center directors to obtain their comments on these guidelines for center/institute review. These documents were created by IUB Vice Provost for Research and the IU Vice President for Research, and the documents have been modified to reflect IUPUI practices by OVCR staff.
- These reviews can be very positive for the center with feedback from external and internal faculty and partner organizations. The center leadership provide a response to the review and can implement suggestions for improvement or future goals. The review process offers a means to increase institutional recognition of the center’s work and faculty, provides an unbiased external review as required by many funding agencies, and can assist with future planning and recruitment of new faculty and leadership.
- While the 5 year review process was strongly recommended by campus administration for all IUPUI centers and institutes (school and campus-based), a separate one year review process was also proposed by OVCR staff for campus centers which receive regular financial support from OVCR and campus administration. This allows campus center directors to share annual progress and receive feedback from OVCR and campus leadership. RAC doesn’t feel that school centers should be forced to do an annual review; there is too much time involved. However, it would probably be beneficial if all centers completed a 5 year review. OVCR could keep the list of centers and send out notices when it is time for a center to undergo a 5 year review. OVCR could provide campus guidelines related to the review process to assist the center during this review process. RAC members and Dr. Blum discussed the possibility that school centers that are funded by NIH, could submit peer review documents from a study section meeting or invited external reviewers as evidence of a rigorous review for a center. If centers refuse to complete regular 5 year reviews, OVCR will inform the campus administration and Chancellor. For school-based centers, the dean along with campus administration would be notified.
- Some schools already ask for a review which may be annual.
- President McRobbie is interested in having IU centers and institutes share their efforts with the Board of Trustees. Fred Cate has asked Dr. Blum, Exec. Associate Dean of Medical School, and the Vice Provost for Research at IUB for a list of centers that could provide presentations to the IU Board of Trustees. Dr. Blum recommended IAHI and SEIRI and some other multi-school centers. SOM has also provided the names of a few centers, as has the Vice Provost in Bloomington.
- There is not currently a committee that approves centers, Vice Provost is over centers at Bloomington. RAC members indicated that RAC could be responsible for such oversight. A committee under OVCR could have that charge, and such a committee could consist of one or more RAC and CAD members.
- Generally the VC for Research has used RAC and CAD as their advisory committee, perhaps OVCR should have a separate committee.
- Dr. Blum will share the center guidelines, etc. with the directors of SEIRI and IAHI, RAC can let her know if there are any other directors that she should share it with. If IUPUI administration wants this done sooner, Dr. Blum can

go to the Deans and have them send the review process document to their center directors to get the reviews started.

Indirect Recovery Costs

- This was added to our agenda by the executive committee – not sure what they want us to do with it. Jere sent them a note and we are still not sure. Karen Lee searched through a decade of meeting minutes to see what faculty council did on the topic.
 - Jere's summary of the email: the chair of the committee was Anna McDaniel, NU, the committee voted unanimously in 2011 that there should be a policy that a minimum 10% of grant research indirect costs should be returned to PIs. The faculty council wanted information on how that was currently being implemented and it may have dropped from radar. Simon Atkinson and IFC picked the issue back up prior to joining OVCR with a look at how inter-school centers are sustained. In 2014 the policy was written by Simon and approved by IFC possibly to aid in the sustainability of research centers. RAC members should read the policy, it really addresses inter-school centers and not school based centers. The policy outlines a matching contribution of indirect costs from grants directly associated with the center (5% from OVCR/5% from school). Evidence must be provided that the grants arose directly due to the work of the center, but it is unclear if all schools within the center must provide the indirect costs.
 - Dr. Blum has had concerns about the policy. She believes that this policy was written to help sustain signature centers. At this time, there is basically one center on campus that comes back to OVCR and asks for a portion of their indirect cost. Yet there is a fear that if every center comes to OVCR to ask for a portion of their research indirect costs back, there would be much less funding available for current OVCR internal grants and awards such as bridge grants, release time support, FORCES or new program development. At this time, the financial costs are moderately low. Oversight or review of this process is currently difficult without regular reviews of centers and proof that a center is really multi-school based.
 - This policy may have been established to help PIs where the school dean doesn't share much of the indirects. Others remember when Simon presented this at Faculty council; did Faculty Council have a say in it? Should this be a faculty governance issue? Apparently only 1 center knows about this policy or requests return of indirect costs related to this policy. If this policy was to benefit signature centers, most are now gone. Small number still around and they have external funding.
 - How ICR work – IU President receives 5%, President for Research gets similar percentage, and then remaining dollars come back to campus to schools. The campus then asks for 20% of ICR back as part of RCM. Schools basically keep 80% of ICR after a portion is removed by IU administration; 20 % then goes to OVCR and Chancellor's office. The funds are used to pay for OVCR grant programs, some campus debits related to research, and to support new research initiatives, OVCR gets about \$6M annually in ICR.
 - In the future perhaps once decisions are made on OVCR structure, it would be worthwhile re-visiting this topic of ICR distribution to centers. Since the policy was voted on by faculty council, if we wanted to revise it, it would not be revised by August. If RAC wants to revise it; they need to start soon so that committee can work on it for a year as that is what it would take.
 - Jere is still waiting to hear back from the executive committee on what they want RAC to do related to discussions on ICR overall. If any RAC members have thoughts on it they are encouraged to share privately with Jere or with the committee. If RAC feels the committee should act, Jere wants to know.

Metrics/Academic Analytics? Any questions?

- Academic Analytics announced that they are going to share their data with researchers. Rachel Applegate will ask them if there will be a cost. Rachel can give everyone access to download everything that Academic Analytics has from us.

The March RAC meeting will be a joint meeting with the Library Affairs Committee. They will give a 10 minute presentation on information that they have gathered regarding the campus' readiness to become a R01 someday. Library Affairs and RAC have been tasked with gathering the information. Dr. Blum will give her thoughts on the research ecosystem here and how prepared we are to become an R1. There was a comment from a RAC member that he received a request from a student to write a letter on their behalf regarding student loan repayment forgiveness. This could be impacted by changes in the non-profit status of IU if it leaves 501c3 as discussed by Steve Allen from ORA. We may want to run this by Steve Martin and may want him to talk to RAC for updates on non-profit status of the university.

Subject: RE: RAC: "Indirect Cost Recovery guidelines"?
Date: Wednesday, January 22, 2020 at 11:00:57 AM Eastern Standard Time
From: Lee, Karen
To: Watson, John C., Odell, Jere, Mendonca, Marc S.
CC: Blum, Janice S.
Attachments: image003.png, image004.png, Minutes_IFC-5-6-14.docx, Minutes_IFC-9-2-14.docx

Hi, Jere. I've done some digging to see what I could find that might help.

On March 10, 2011, Anna McDaniel, chair of the RAC, met with the IFC-EC. The notes follow:

1. **[Information Item]** Indirect Cost Recovery
Anna McDaniel, Chair, Research Affairs Committee

McDaniel reported on the following:

- At the beginning of the year, because of many changes in research administration and staff, the committee met with several people regarding signature centers, funding for signature centers, and funding for the centers. There is not a whole lot of support for continued funding. Sukhatme said ICR is not equal among the schools and could help support existing signature centers as well as external funding.
- She distributed a handout showing how ICR distribution occurs within the schools.
- In the School of Medicine, the departments receive the ICR. This is not the way it works in other schools.
- At the January meeting of the RAC, they unanimously voted to recommend that *as a matter of policy*, all schools should return a *minimum* of 10 percent of Indirect Cost Recovery (or the equivalent in research resources) to the Principal Investigator of Research Centers for research support and re-investment (assuming that full ICR is obtained).
- Sukhatme asked Vice Chancellor Varahramyan to list the policies with the different schools and he was asked to present at a dean's meeting. Most of the schools are giving 10 percent to the PIs. Sukhatme believes 10 percent should go back. The School of Medicine moves the funds to the departments and they distribute it from there.
- Sukhatme believes a faculty resolution is a good thing to do.
- Daniels will return to the Research Affairs Committee to do further work on the resolution before presenting it to the IFC.
- It was moved and seconded to have Daniels present the resolution to the full council after further work on the wording. The motion passed.
- McDaniel recommended for the next year's RAC members, please consider more Associate Professors. Most of the committee are assistant professors and there is one senior lecturer; however, higher ranks are desired to review research proposals. She requested a better balance.

At the April 21, 2011, IFC-EC meeting, Jack Windsor (president) said he will keep a watch on the discussion and talk with the academic deans about it.

May 6, 2014 – Simon Atkinson, chair of the RAC, presented at an IFC meeting on ICR/Sustainability of Research Centers

Handout from the meeting:

https://facultycouncil.iupui.edu/Media/FCContent/documents/handouts/sustainability_of_research_centers.pdf

The minutes from this meeting are attached.

September 2, 2014 – Simon Atkinson brought the ICR/Sustainability of Research Centers policy back to the council for a vote. The motion for the policy pass unanimously. Attached are the minutes to that meeting.

December 2, 2014 – Vice Chancellor for Research Kody Varahramyan presented to the IFC the Research Strategic Plan. The minutes for that meeting are here:

https://archives.iupui.edu/bitstream/handle/2450/8154/minutes_12-2-14.pdf?sequence=1&isAllowed=y

I can see that the RAC was charged with having a presentation on the ICR to the IFC for at least three years. In 2017-18, they were assigned to review the Indirect Cost Recovery usage at the campus, university, and school levels. This assignment remained for 2018-19 and 2019-2020.

I see on the 2014-2015 RAC [Annual Report](#), that a “Center Sustainability/ICR Policy” was to have passed a second reading at the “IFC 8/15” meeting. The IFC doesn’t meet in August and I don’t see a second read on the September agenda.

On May 15, 2015, Simon Atkinson reported to the IFC that the RAC was looking at the Grand Challenge Initiative and that the VP for Research’s office was going to move forward on the initiative after VP Jose had stepped down and conversations stalled. No mention of ICR.

January 12, 2016 – Simon Atkinson and David Burr reported at the IFC on the Grand Challenges.

December 6, 2016 – Vickie Champion, RAC chair, reported at the IFC but there was no mention of ICR. She said the committee was tasked with:

- Changes to the common rule
- Tracking of research efforts
- T32 grants
- Signature centers
- Subcontracts
- Purchasing
- Changes in internal grants (information will be posted on the OVCR website in the near future)

January 10, 2017 – Simon Atkinson and Fred Cate reported at the IFC on Research Expenditure Reporting.

Minutes: https://archives.iupui.edu/bitstream/handle/2450/11494/Minutes_IFC-1-10-17.pdf?sequence=4&isAllowed=y

I’m afraid that this information isn’t much help on why the assignment was made to the committee. Perhaps the IFC-EC can discuss this again to see if they know something at that level that would warrant a review.

Thank you.

Karen

Karen Lee, M.S.

Director of Academic Affairs and Strategic Initiatives
Office of the Executive Vice Chancellor and Chief Academic Officer
Office of the Faculty Council
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301 University Boulevard
Indianapolis, IN 46202
317-274-2215
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www.academicaffairs.iupui.edu
www.facultycouncil.iupui.edu



From: Watson, John C. <jcwatso@iupui.edu>
Sent: Wednesday, January 22, 2020 8:33 AM
To: Odell, Jere <jdodell@iupui.edu>; Mendonca, Marc S. <mmendonc@iupui.edu>
Cc: Blum, Janice S. <jblum@iupui.edu>; Lee, Karen <klee2@iupui.edu>
Subject: Re: RAC: "Indirect Cost Recovery guidelines"?

Dear Jere,
I'm copying Karen Lee on this because she may know more about that particular charge to your committee.
Best wishes, John

John C. Watson, Ph.D.
President, IUPUI Faculty Council
Associate Professor, Department of Biology
Indiana University-Purdue University Indianapolis
723 West Michigan Street
Indianapolis, IN 46202
USA

Phone: 317-278-1366
Fax: 317-274-2846

jcwatso@iupui.edu
<http://biology.iupui.edu/people/john-watson>

On 1/21/20 6:30 PM, Odell, Jere wrote:

Hi John and Marc,

I am seeking some clarification on an item for the RAC's charge for this year: "Indirect Cost Recovery guidelines." Do you know if there's something specific that we need to address?

I found that the RAC in 2011 recommended a policy to stipulate a minimum 10% rate for PIs:
https://facultycouncil.iupui.edu/FCContent/Html/Media/FCContent/committees/research_affair/s/ICR_distribution_policy_recommendation_3-28-11.pdf

What, if any, were the outcomes of this recommendation?

It looks like Science and Liberal Arts have public statements that echo this recommendation:

https://science.iupui.edu/sites/default/files/sospolicy-icr-centers_june_2019.pdf

<https://liberalarts.iupui.edu/faculty-staff/research/page-standard.html>

There may be others that I didn't find.

What would the Executive Committee like for us to do?

Sincerely,

Jere

Jere Odell

Scholarly Communication Librarian

<https://orcid.org/0000-0001-5455-1471>

<https://www.wikidata.org/wiki/Q37371644>

IFC Research Affairs Committee
February 24, 2020, 9:00-10am
University Library 2115 G

Agenda

Join from PC, Mac, Linux, iOS or Android: <https://iu.zoom.us/j/361094437>

Or Telephone:

Dial: +1 646 558 8656 (US Toll) or +1 669 900 6833 (US Toll)

Meeting ID: 361 094 437

International numbers available: <https://zoom.us/j/361094437>

Chair: Jere Odell (jdodell@iupui.edu)

Box folder: <https://iu.box.com/s/5k8bdb1c6wrxlmdxtuelo0r5xmbejxpx>

1. Assignment: Readiness for R1 Status (part 1)
 - a. Supporting Documents:
 - Most recent public data file (2018) from CCIHE:
<https://iu.box.com/s/s88ofaiteomn6333iwpevmchxba5phqx>
 - Definitions and Methods, CCIHE:
<https://carnegieclassifications.iu.edu/definitions.php>
 - b. **Guest: Katharine Macy**, (Collection Assessment Librarian, Subject Liaison to Business & Economics, University Library), Summary of Report to the IFC Library Affairs Committee
 - c. **Question for the RAC:** All other factors aside (PhD degrees, library funding, campus-faculty/grant counts):
 - What would IUPUI need in order to be a successful R1?
 - What would the OVCR need in order to support IUPUI as a successful R1?
 - d. Joint meeting with IFC Library Affairs, 9am, **March 23, UL 1116.**
2. Assignment: Follow up & next steps on “Indirect Recovery Costs” topic and “Sustainability of Centers” policy.
3. Update: Regarding 501(c)(3) status and eligibility for grants and loan deferments
 - a. Steve Martin (Associate Vice President, ORA) has agreed to answer questions at the April meeting regarding implications for grant eligibility.
 - b. Marvin Smith, Ex. Dir. Of Student Financial Services does not know of any consequences regarding loan deferment. Marvin strongly encourages faculty to send all loan certification/deferral requests to the Registrar. (This is “NEVER” a task for a faculty member.) See response:
<https://iu.box.com/s/eaf1f962rgwrk62qe5l9get1jncoradt>

- c. For context, the 2017 tax reform law may be a factor in a change to IU's status. Katharine Macy, provided a link to the following news story:
<https://www.insidehighered.com/news/2019/01/09/year-after-tax-law-changes-new-guidance-still-rolling-out-colleges>

4. Announcement, issues, questions, other?

IFC Research Affairs Committee
February 24, 2020, 9:00-10am
University Library 2115 G

Minutes

We have a little time set aside to prepare for next month's meeting which will be a joint meeting with Library Affairs Committee and Jen Guiliano, who is a member of this committee and is the chair of that committee. The Executive Council decided that these two committees would work on the task of R1 readiness (that is what Jere has been calling it). Are we a campus that has a research infrastructure and library services that position us to become an R1 someday? I asked Katharine Macy to come today, the Library Affairs Committee has done a good bit of work on this so Katharine will give us an executive summary on the work they have done so we have a little heads up before we go into our joint meeting next month. When Katharine is done with that, we can talk about what Research Affairs can bring to the table in March.

Assignment: Readiness for R1 Status (part 1)

- a. Supporting Documents:
 - Most recent public data file (2018) from CCIHE:
<https://iu.box.com/s/s88ofaiteomn6333iwpevmchxba5phqx>
 - Definitions and Methods, CCIHE: <https://carnegieclassifications.iu.edu/definitions.php>
- b. **Guest: Katharine Macy**, (Collection Assessment Librarian, Subject Liaison to Business & Economics, University Library), Summary of Report to the IFC Library Affairs Committee (see her presentation in IU Box)
- c. **Question for the RAC:** All other factors aside (PhD degrees, library funding, campus-faculty/grant counts):
 - What would IUPUI need in order to be a successful R1?
 - What would the OVCR need in order to support IUPUI as a successful R1?

Odell: What is the next step for Research Affairs? We are in an institutional pickle where some of this is out of our hands; none the less, I assume the Executive Committee wants something from us about this; so what do we deliver? They are certainly aware we are in this pickle with Bloomington and the School of Medicine. So what do we deliver to the Executive Committee from the Research Affairs Committee about this question that they don't already know? Blum: The Chancellor wants more PhDs trained and degrees awarded and that does help us in terms of Carnegie ranking of R1 vs. R2, our current status. I have asked if as a campus we could count only IUPUI and not School of Medicine faculty, but I was told that we must count them. Right now, all we can do is continue to grow our research dollars, encourage our faculty colleagues to get more grants and that is part of my goal. Currently our campus grant awards are approximately \$60,000,000 per year, but to be R1 but we have to go higher. We probably need to double our grant/award dollars per year. Another RAC member: I think that is the real crux of the question; how do you incentivize graduate education and the research mission where the winds of change on the campus are moving towards a specialized teaching institution and I feel lots of pressure for that in the School of Science. Okay, if you want dollars and want to be in the black, you need to bring in students and they have to be from out-of-state and there are all of these marching orders about increasing enrollment and now we have what appears to be a competing message about increasing research volume. Blum: I would remind your department chair and deans that Master's students bring in significant income

and can participate in research. Our undergrad enrollment is level if not declining and that the number of high school students is decreasing in state. Boyd Bradshaw, the head of enrollment management has said to me, that we are going to have to turn to grad and professional enrollment to hold steady or grow. Science has a Master's program that feeds into the Dental School that brings in revenue to the school. I understand that you have to teach these students, but some may be interested in contributing on some projects, or their tuition dollars allow you to support more Master's in research or PhDs. It is one of our strengths that we are still growing in graduate enrollment and in fact, PhD enrollment is up very significantly. But the PhD programs do cost us money, thus obtaining more NIH/NSF training grants and getting supplements to support diverse students will be key. I sent two faculty notes over the weekend because the National Institute of General Medical Sciences had an opportunity for faculty with grants from that agency recommending they apply for supplements to support undergrads and summer research; that means they are looking to give that money out. I went through everyone on campus who has a grant from that institute, I looked at who didn't have a supplement and I emailed them and said here is another way that you could probably add another \$50,000 in grant funding that would bring indirect costs which would help us. So I think looking for any opportunities to increase revenue stream by getting grants, such as supporting undergrad students in grants is another way to help us at this point. Certainly, we do the best we can in undergraduate education and I think there are a lot of ways to support that; the five-year programs which are bachelor-to-master's training allow us to retain very talented students. Some of those students want to stay and do PhDs. It's a difficult dilemma. I often harken back to my example of the three-legged stool; we have Philanthropy; so if you know of people who really want to donate to IUPUI; encourage that. We have enrollment and we have research dollars and we have to balance them all. Other RAC member: It seems to me that there would be ways, I view the engine of research and research productivity at the university as PhD students and a close second to that which should probably be on par is postdocs and the postdoctoral mentoring and the postdoctoral integration of them with PhD and undergraduate students. Blum: The med school spends a lot on postdoctoral training and mentoring, and they do have a postdoc office. We try to promote some of their programming. When I took on this dual role, I had asked Kathy and Nasser if I could get a person to run a postdoc program for the campus and they said not yet. Bloomington recently got a person who oversees their postdoc programming. Anything that I see from SOM relating to postdocs, I send to the Associate Deans of the schools with postdoctoral fellows when these events are open to the campus, and I suggest the Associate Deans share the information with their postdocs. Other RAC member: internal funding mechanisms like RSFG also help. Blum: if you start getting to the point where postdocs are applying for RSFG money, they would compete with faculty. But in terms of RSFG, this year we are actually down in applications for our internal money so I would encourage you and your colleagues if you have new ideas to submit. That goes back to one of the things that I am trying to do this year, communication from OVCR was not our strength, it really had fallen off so I am having my team spend lot of time meeting with IU studios and thinking about how we can better communicate with you to tell you how to apply for internal and external funding opportunities. We're getting through to some new faculty but for other faculty, it is hard to find our website because that site was dismantled under IU Communications. We are working on trying to get our OVCR website back into shape. We are working on improving the newsletter and doing a survey on the newsletter. Other RAC member: can we do here like what Katharine did with a comparison to our peers on things like postdocs, internal funding mechanisms? Blum: postdocs are really hard to get information on because they're classified in multiple ways as trainees and sometimes employees. But Rachel Applegate can get those numbers if you feel they are important. I don't know if she has comparisons to peers because again each institution classifies these trainees differently; even the med school has trouble tracking them. Is there a way to track research assistants and technicians; is

there a way to track that with our peers? Blum: again, Rachel Applegate would be the person to check with. RAC member: another thing is; we're creating too many PhDs for what we can put out to the workforce. Blum: actually we're not. RAC member: in NeuroSciences. Blum: well, maybe in NeuroSciences. I just got the NSF survey of earned doctorates (SED) data, I can scan it and share it with you. For our PhD students, about two-three years ago, 70% of them were going to academia; now 50% or a little less are finding jobs in academia with most going to industry, government and non-profit. They are listing reasonable salaries; I am happy to share the information of where they are going. RAC member: The Chronicle just had an article about this that we need to think about our PhDs in the workforce. Blum: we need to teach them soft skills such as how to communicate, work in teams, etc. We promote that in the Grad school and are partnering with OVCR by running grant writing workshops for the grad students, trying to help those that are interested. We want to help them be successful. That is also a cost; students out in the UC system in California are protesting because their stipends are too low. Bloomington students are protesting because they are paying too many fees. Their fees are a bit higher than ours. Luckily we haven't been touched by this. This is a cost to research because support for these trainees is charged to grants or research projects. So far, we have held steady. RAC member: I do think that in your three-legged model, technicians/research coordinators do play a key role. They are the individuals that provide longevity and continuity. Other RAC member: what is a technician? They can be bachelor's level, master's level or PhD or if you are really lucky, staff scientist. They can make sure everything is in the lab also like a business manager, they order, they do the spending. They have a very important role, we are also employing lots of people in the community for research whether they are working in library research or lab research, research for anthropology. A lot of schools are harmed by enrollment issues; how do we find ways to help them; either through research or other mechanisms; do we decrease teaching some things? Another RAC member: As a merged school, we are aspirational for research, our dean is good at encouraging the faculty who are invested in research but not for faculty as a whole. Blum: All the Associate Deans were asked to write research reports/research plans basically; what they will do, how they want to shape their future in terms of research. The majority have submitted it and it is supposed to be part of their discussion with the Chancellor. He wants each school to look annually at where are we and where are we going. Blum needs to go back to the Associate Deans and tell them to share that everyone is doing this. Some of the plans are fuller than others. Each school has different reports. One part of the report is areas of research goals but also making sure that they are having faculty in the right research areas. Suggestions from colleagues to Dr. Blum indicate they want her to come talk to schools. E&T invited her to their retreat this fall and faculty were coming up to her after her talk to get more information/clarification. She has met with every dean and associate dean one-on-one for each school and talked about their research plans as well as their graduate needs. She is very willing to go speak with department chairs or at retreats to discuss the campus mission and schools' roles. This committee knows more than many of their peers about the status of campus research and fiscal issues, and there are enlightening light bulb moments when our faculty colleagues suddenly realize that we're not the only ones impacted by the fiscal crunch on campus. Or similarly that, OVCR actually offers funding in the form of internal grants. We have a number of internal grants that people can apply for. We help support SEIRI which does STEM education, provides grants, we support IAHI which also supports grants for people doing arts and humanities research so there is a number of different areas on campus as well as some schools having internal funding. I'm happy to try to get that message out. We do need better communication from all including RAC and our Associate Deans were sharing what we discuss. Another RAC member said: faculty may just not be listening. Another RAC member: When we talk about these things like access to PhD students, postdocs, technicians, etc. I feel like these are all common sense things and that faculty can say all year long until they're blue in the face, what do you feel like the university is willing to do to

support the R1 transition? Will there be some tweaking of the funding model, money here or there or other resources? Blum: well, unfortunately, the infusion of money was the grand challenges. We spent a lot of money on those projects and we are just starting to see some benefit and that was school selective. Your school had some projects. Public Health and Nursing got a fair amount of money, Liberal Arts got some money. Medicine put in mostly their own money and they got a little of the President's money. O'Neil and Lilly Philanthropy got money to hire faculty. The way those grand challenges worked was the school put in a third, OVCR put in a third and the other third came from the President. So deans had to step up and in Bloomington, those dean put out more money and invested more money and they got more money back from the President and their campus. We're talking about another initiative related to artificial intelligence at this point, which I hope will broadly go across the campus. Right now those are the only ones I see as being investments. There could certainly be something else proposed or that comes up. Science is in the process of a dean search and whether or not that will involve some money, I don't know. It is certainly a potential time when that candidate can negotiate and ask for additional resources to invest. RAC member: it seems like should be an articulated strategy though because you're asking for an expansion of capacity without more resources. Blum: I don't know that we're asking to be R1 right now; that was something we were asking for before we understood the metrics of how that is calculated. If we could double research, then yes and again, I think that we have that potential. Bloomington is investing a lot in bringing the DoD here and I am trying everything I can to connect faculty that might some ability to write DoD grants with those consultants that IU is paying. They just hired another Vice President in the Commercialization Office so potentially if people have ideas that could attain patents; that could bring some revenue in. They are also filling out another group of people that Fred has hired to be liaisons with businesses again thinking about how we can get businesses to support research or education on the campus. I can't say there will be a huge infusion because, where would that money come from? Especially with enrollment not growing. I think that if someone has a great idea for research and can come up with some school support, we might be able to assist but the key is sustainability. Addictions is the one comes to mind that might be able to go somewhere. It is very interesting, it has connections, for example, they have a museum, so there is a connection to museum studies, public health, nursing, neuroscience, etc. so if we can leverage the addictions grand challenge money by having more people with collaborative grants

d. Joint meeting with IFC Library Affairs, 9am, **March 23, UL 1116.**

Odell: The joint meeting next month a bit asymmetrical in that the Library Affairs Committee has the budget of a campus unit in mind when they are talking about this question and we sort of have the generalized research ecosystem in mind. Janice, it might be worth your time to see how the research office budget stacks up to our peers. I haven't seen that. Blum: I don't know if I'll have that data by then. Do you mean in terms of the resources, how much we have to give out? Odell: right; do we have a research office that supports our faculty at the same level as our peers? Janice: I can certainly see if they publish it. Other RAC member: is our research office understaffed? Blum: I do think that is a challenge; Bloomington has more faculty working and connecting to their research office. We don't have that and I am really realizing that is a constraint for us because I think again that having more faculty involved in the research office to plan and promote collaborations is better. They have people who are able to talk to their peers. I have primarily staff and some of them can talk to schools, some of them are just distributing the money in the background or helping proposal development. We are hiring another proposal development but Bloomington has two more people in proposal development than us. They certainly don't bring all of the money in on the campus but they do help with the big grants and they certainly are very

good. They have been able to help with people get grants. Odell: I think OVCR funding in regards to our peers would be excellent information to share with the Library Affairs Committee.

2. Assignment: Follow up & next steps on “Indirect Recovery Costs” topic and “Sustainability of Centers” policy. Odell: Last month we talked about indirect recovery costs and the Sustainability of Centers Policy. I had some conversations between then and now with individuals on the committee. We came to the conclusion that we didn’t think it was wise to try to amend that specific policy in Faculty Council. Friday, I got an email from Karen Lee and John Watson who might be giving us an out which is that they would like to know what various schools do with their indirects. I know Liberal Arts and I believe Science have explicit policies on their websites. So that is my question for the committee, and Janice, I don’t know if you know too; is there a way to get this information other than going to each school? Blum: You mean the way they distribute it? Odell: their policies on indirects. Blum: I think we collected some of these in CAD. Goff: I think going a step beyond how it’s distributed to what they do with it once it is distributed. That is a problem for Liberal Arts. We have a good policy but if it goes to departments, they’re using it to do things that perhaps they shouldn’t. It’s not really covering indirect costs. Other RAC member: or they use it to pay down their debt. Blum: I think in Medicine it goes to departments, it doesn’t go to faculty. I think that I have something on it; I will check. Odell: if we can expedite this by going with one source of information rather than having to go to all the associate deans that would be good. Blum: I think Simon did something and I’ll look into it. Odell: that would be a great first step and I would be happy to look at that and see where the gaps are and send it to everyone for their feedback.
3. Update: Regarding 501(c)(3) status and eligibility for grants and loan deferments
 - a. Steve Martin (Associate Vice President, ORA) has agreed to answer questions at the April meeting regarding implications for grant eligibility.
 - b. Marvin Smith, Ex. Dir. Of Student Financial Services does not know of any consequences regarding loan deferment. Marvin strongly encourages faculty to send all loan certification/deferral requests to the Registrar. (This is “NEVER” a task for a faculty member.) See response: <https://iu.box.com/s/eaf1f962rgwrk62qe5l9get1jncoradt>
 - c. For context, the 2017 tax reform law may be a factor in a change to IU’s status. Katharine Macy, provided a link to the following news story: <https://www.insidehighered.com/news/2019/01/09/year-after-tax-law-changes-new-guidance-still-rolling-out-colleges>
4. Announcement, issues, questions, other?

Other RAC member: Regarding the R1 status, the one thing we do well is supercomputing resources which are extremely valuable and we use them quite often. Blum: I don’t think they are going to go away, they are a point of pride.



University Library

Library Benchmarking Analysis

Method

1. Source data: IPEDS (Integrated Postsecondary Education Data System)
2. Data includes all libraries including medicine, law, and dental.
3. Prepared by Katharine Macy, Collection Assessment Librarian.
Questions? macyk@iupui.edu

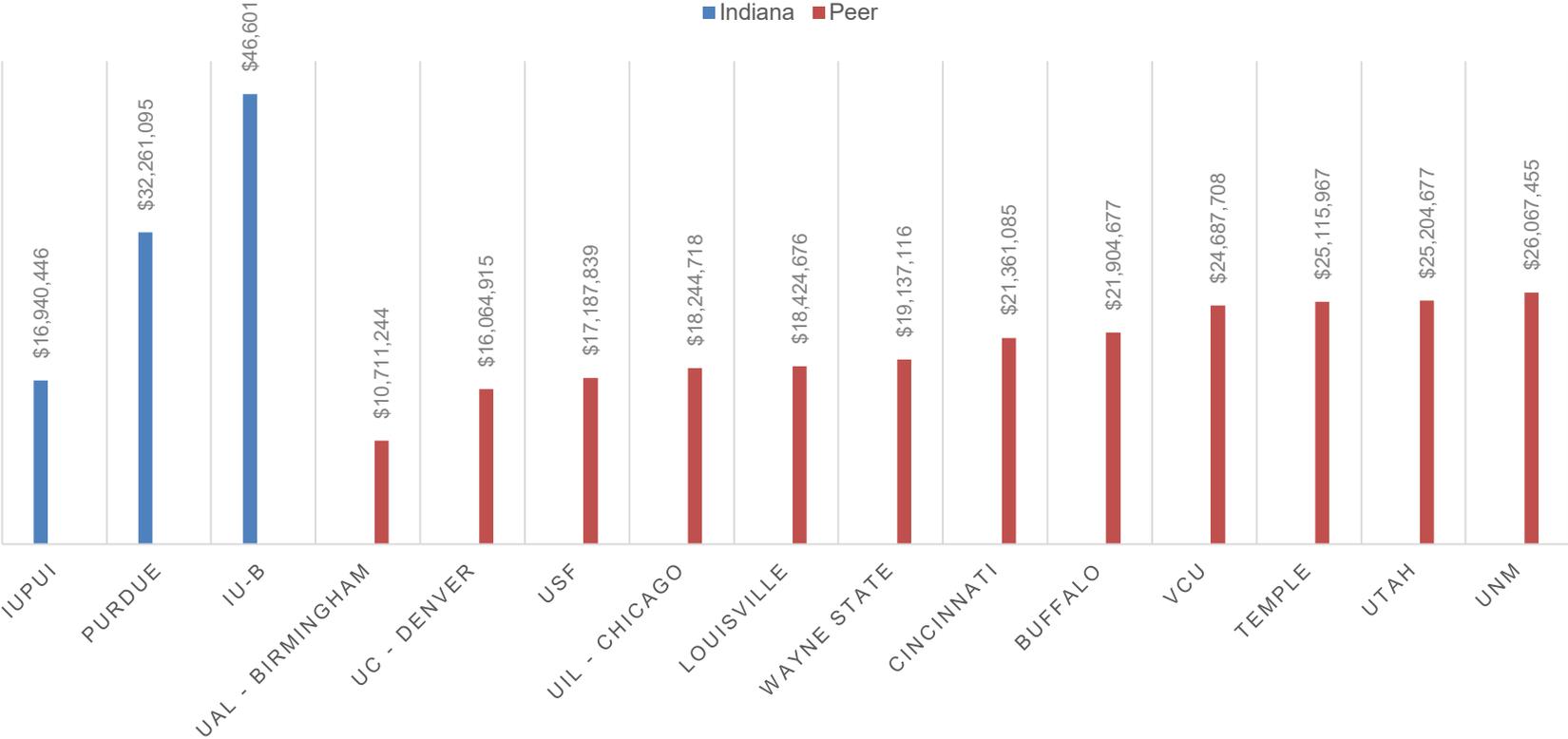


Executive Summary

1. IUPUI falls in the bottom third of their peers for spending in several categories including Total Library Expenses. (This includes all libraries including the medical library).
2. Public R1 institutions' average total library expenditure is +\$8.7MM higher than the total library expenditure at IUPUI.



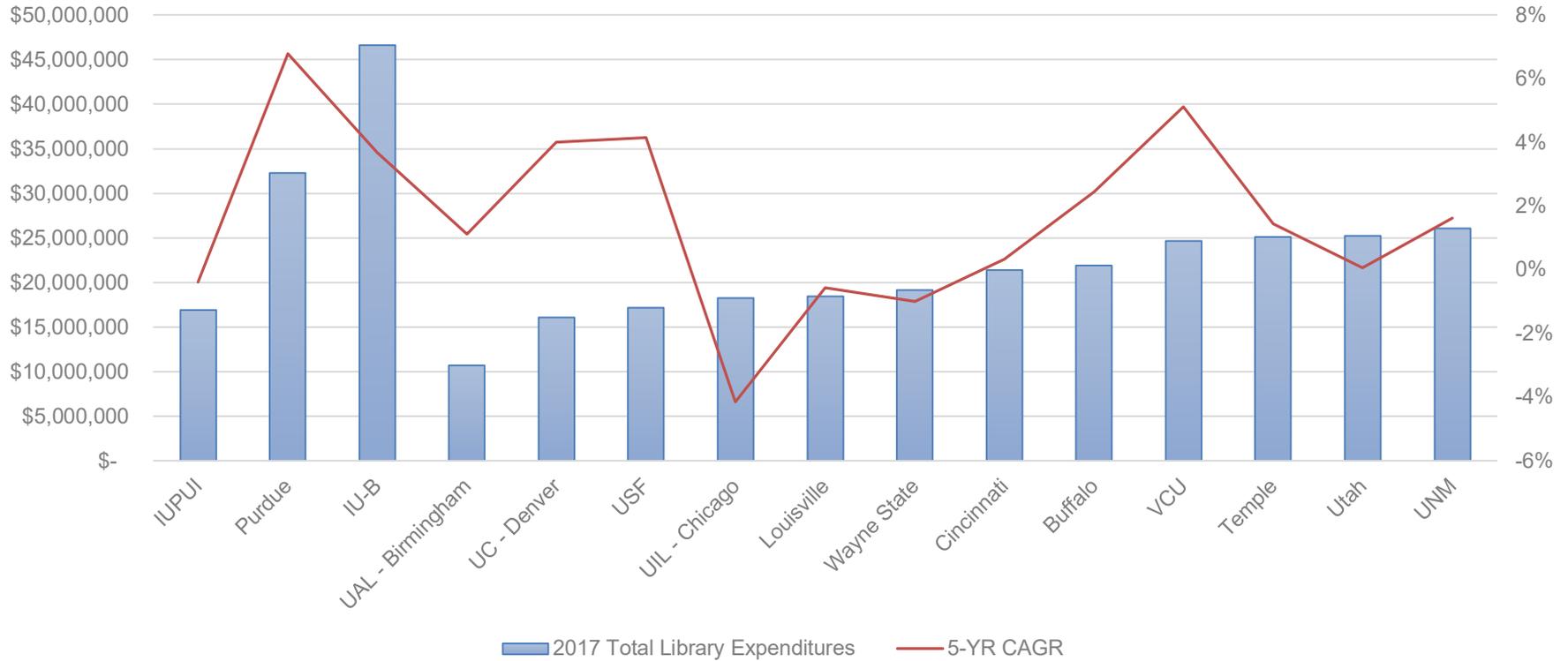
2017 TOTAL LIBRARY EXPENDITURES



Source: IPEDS



2017 Total Expenditures with 5-YR CAGR



Source: IPEDS



IUPUI

Peer 5-YR CAGR

1. IUPUI has had a 0% 5-YR CAGR (compound annual growth rate) in Total Library Expenditures. Total Materials and Services as well as Salary and Wages have declined with a -1% 5-YR CAGR.
2. Peers have an average 1% 5-YR CAGR in Total Library Expenditures, 3% in Total Materials and Services, 0% for Salary and Wages.



Comparison to Public R1

1. On average, Public R1 have Total Library Expenditures of \$25.6MM, with a 5-YR CAGR of 3%. +\$8.7MM higher than IUPUI's 2017 Total Library Expenditures (\$16.9MM)
2. On average, Public R1 have Total Materials & Services of \$10.6MM, with 5-YR CAGR of 3%. +\$3.8MM higher than IUPUI's 2017 Total Materials & Services (\$6.8MM)
3. On average, Public R1 have Total Salaries and Wages of \$10.1MM, with 5-YR CAGR of 2%. +3.7MM higher than IUPUI's 2017 Total Salaries and Wages (\$6.4MM)



IFC Library Affairs & Research Affairs Committee

2019-2020

JOINT AGENDA

March 23, 2020

9-10:45 am

Location: ZOOM ONLY

Join from computer or mobile:

<https://iu.zoom.us/j/151593657>

Meeting ID: 151 593 657

One tap mobile

+16465588656,,151593657# US

+16699006833,,151593657# US

Dial by your location

+1 646 558 8656 US

+1 669 900 6833 US

Meeting ID: 151 593 657

IU videoconferencing equipment: 26 151 593 657

Library Affairs Committee Members		
	Attending	Not Attending
Andrews, Angela (Business)		
Berbari, Nicolas (Science)		
Donahue, Kim (Business) (Ex-Officio)		
Guiliano, Jennifer (Liberal Arts) (Chair)		
Mahoney, Jennifer (Liberal Arts)		
Polley, Ted (University Library)		
Ralston, Rick (Medicine Library)		
Rodd, Zachary (Medicine)		
Palmer, Kristi (University Library) (Ex-Officio)		
Tejada, Juan (Medicine)		
Vanandel, Nicole May (Informatics)		

Research Affairs Committee Members		
	Attending	Not Attending
Bhatwadekar, Ashay (Medicine)		
Blum, Janice (Interim Vice Chancellor for Research) (Administrative Liasion)		NA

Chu, Tien-Men (Gabe) (Dentistry)		
Coggan, Andrew (Health & Human Sciences)		
Cohee, Andrea (Nursing)		
Ellsworth, Susannah (Medicine)		NA
Foster, Erin (Medicine Library)		
Goff, Philip (Liberal Arts)		
Guiliano, Jennifer (Liberal Arts)		
Han, Jiali (Public Health)		
Lapish, Christopher (Science)		
Mendonca, Marc (Medicine) (Executive Committee Liaison)		
Na, Sungsoo (Engineering and Technology)		
Odell, Jere (University Library) (Chair)		
Osili, Una (Philanthropy)		
Picard, Christine (Science)		
Pike, Caitlin (University Library)		
Tanaka, Hiromi (Medicine)		
Yan, Jingwen (Informatics and Computing)		
Zhu, Likun (Engineering and Technology)		

Guests		
	Attending?	Not Attending?
Baich, Tina (University Library)		
Gahimer, Alicia (OVCR)		
Macy, Katharine (University Library)		
Ward, Etta (OVCR)		

Agenda

1. Sound check. (Zoom meeting will be recorded for notes.) (3 minutes)
2. Review of Charge from IFC Executive Council (3-5 minutes) - The IFC Executive Committee asked our committees to jointly address this topic:

R1 status at IUPUI: what are the factors in the campus libraries and the campus research ecosystem that would need to be addressed for IUPUI to be classified as an R1? With this in mind, how do we compare to our peers?
3. Library Affairs Committee – Report: Library Benchmarks for Research 1 Classification (Guests: Tina Baich, Katharine Macy, University Library) (15 minutes). Questions (5 minutes)
4. Research Affairs Committee – Report: R&D and Research Support Benchmarks for R1 Classification (Guests: Etta Ward, Alicia Gahimer, OVCR) (15 minutes). Questions (5 minutes)

5. Discussion (20 minutes): What issues/statements would we like to make in a joint report to the IFC Executive Committee?

6. Next Steps? (10 minutes)

RAC: March 23 2020

R1 Research infrastructure – how does the library interface with the rest of campus?

Tina Baich Presentation – Library Funding

- Comparison to other peers
 - We are near the bottom of allocations to our peers as of (2017)
 - Underfunded ~8.7 million compared to all public R1
 - IUB 46 million
 - Purdue 32 million
 - IUPUI 16 million

Etta Ward, Alicia Gahimer, Jere Odell – OVCR & Research Affairs perspective

- Questions pertaining to research (Etta Ward, Alicia Gahimer)
 - Receive about 8% of the 20% of the indirect that are recovered by Schools
 - Internal granting mechanisms
 - Example RSFG
 - emPOWER – grant writing aid
 - significant contributor to the library (e.g. open access costs)
 - 1.8 million faculty seed grants (~10x return on investment)
 - “industry leader” in terms of internal granting programs
 - put a lot into junior faculty but return on this is not clear yet
- We are 3 times below Univ of Louisville (urban peer) in terms of extramural funding
- A lot of discussion about how ratio of faculty to research dollars are allocated
- Collaboration between OVCR and school on start-ups
 - Hard to envision in this environment
- Request development of case studies (1-3 pages) to identify unmet needs of faculty related to use of library and research infrastructure; need to highlight consequences of faculty not meeting expectations (Jennifer Guiliano)
 - Suggest that executive committee request these studies

Discussion of P&T in light of disruption of research

- University has mandated the ability to opt-in for an extra year
- Ensure that the “extra year” is not an implicit requirement of more productivity
- Concern that there is a push for more teaching evidence with the extra year
- Inclusion of some statement about pandemic in P&T guidelines
 - Query campus P&T on this issue
 - Nursing is including guidance to external letter writers
 - Talk to Margie Fergusson (Marc will reach out to her)
 - Guidance currently says Chairs must agree to extension
 - Some on the committee did not like this
 - Suggest that people go up if they can, so P&T committees are not crushed next year.

R1 Classification for IUPUI: Benchmarking and Readiness

A joint report of the IUPUI Faculty Council Committees for Research Affairs and Library Affairs

May 2020

During the 2019-2020 term of the IUPUI Faculty Council, the Executive Committee assigned the topic of R1 readiness as a joint issue of concern for the Library Affairs and Research Affairs Committees of IFC. The Carnegie Classification of Institutions of Higher Education (CCIHE) assigns “R1” status to “Doctoral Universities” with “Very high research activity” (<https://carnegieclassifications.iu.edu>). The perceived advantages of R1 classification include greater institutional competitiveness for grants, gifts, and awards; improved faculty and student recruitment; and more research and employment opportunities for graduates. CCIHE currently classifies IUPUI as “R2: Doctoral Universities – High research activity” (https://carnegieclassifications.iu.edu/lookup/view_institution.php?unit_id=151111). Additionally, they note IUPUI qualifies as having a “community engagement” classification.

To address this assigned issue, the Research Affairs Committee (RAC) and Library Affairs Committee (LAC) sought the assistance of Tina Baich, Senior Associate Dean for Scholarly Communication & Content Strategies at IUPUI University Library, Katherine Macy, Business Librarian, Etta Ward, Assistant Vice Chancellor for Research Development, and Alicia Gahimer, Programs & Operations Manager, Office of the Vice Chancellor for Research. Collectively, they analyzed data associated with the Integrated Postsecondary Education Data System (IPEDS) to understand where IUPUI currently ranks in relationship to both its research and its library expenditures. That library’s report along with research data from CCIHE and National Center for Science and Engineering Statistics (NCSES) for IUPUI and its peers are available in the appendix to this report and was provided to the committees to assist them in their work.

The Research Affairs Committee addressed this topic by examining IUPUI’s Research and Development (R&D) profile and by comparing that profile to a list of IUPUI’s peers. Similarly, the Library Affairs Committee reviewed the IUPUI’s library budget and staffing levels and compared them to the same list of peers. This joint report includes a summary of these comparisons and proposes potential next steps.

Research Affairs Report

The IUPUI campus includes one of the largest schools of Medicine in the United States; it also includes the IU School of Dentistry, the IU School of Nursing, the Fairbanks School of Public Health, and School of Health and Human Sciences. With so many strong health science researchers along with its reputation for community-engaged and public scholarship across all schools and departments, the campus serves as a major center for research activity in the state of Indiana. Although nominally “housed” on the IUPUI campus, the School of Medicine is a statewide institution with nine campus locations.

In recent years, Indiana University realigned how research and development (R&D) is reported at the campus-level both in relationship to the “counting” of faculty as well as the assignment of research expenditures and income. Currently, all Medicine R&D is attributed to Indiana University Bloomington in the NSF’s Higher Education Research and Development Survey—the data source used by the CCIHE (<https://ncesdata.nsf.gov/herd/2018/>). As a result, the annual R&D generated by the School of Medicine at IUPUI is attributed (for the purposes of R1 classification) to the IU Bloomington campus—anywhere from \$300 to \$400 million in R&D generated by researchers on the IUPUI campus (see Fig. 1).

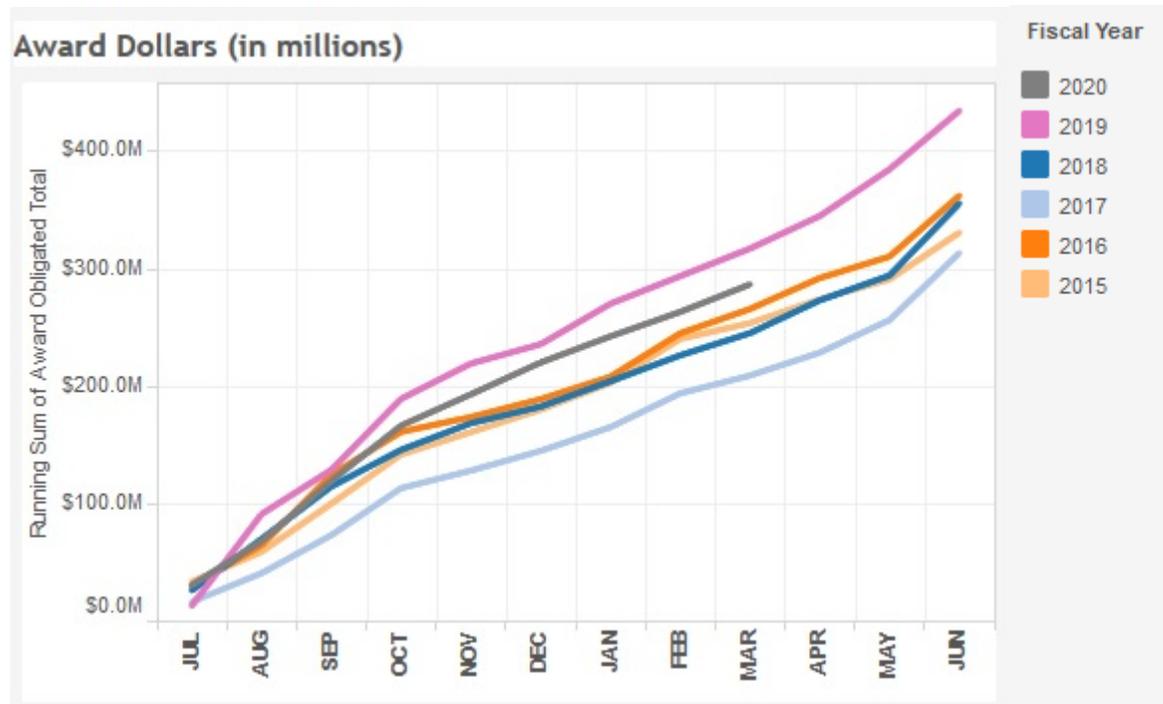


Figure 1. Award Trends, Chart: IN, Responsibility Center: MEDICINE. Research Administration Dashboards, IU Decision Support.

At the same time, the NCES IPEDS data for the IUPUI campus—the source of CCIHE’s count of tenured and tenure-track faculty—is inclusive of IU School of Medicine faculty. In 2018 CCIHE recorded 2,044 faculty for the IUPUI campus. For that same year, IUPUI Institutional Research and Decision Support shows a faculty count of more than 600 for the School of Medicine. This mismatch between the IPEDS and the NSF R&D data greatly reduces IUPUI’s R&D expenditures per faculty member which lowers IUPUI’s competitive ranking.

In 2018, the NSF recorded over \$60 million in R&D Expenditures for the IUPUI campus (not including the School of Medicine). Although this is better than many R2 “High Research Activity” institutions, it is not sufficient to be classified as an R1. In fact, when compared to IUPUI’s Official (R1) Urban Peers, this level of R&D falls far short of the campus’s lowest ranked peer (see Table 1.).

	Carnegie Classification		Higher Education Research and Development Survey: Fiscal Year 2018 (NSF)	
	Basic Classification	Student Pop. (2017)	Rank (n=646)	All R&D Expenditures (dollars in thousand)
IUPUI	R2	29,791	184	60,501
IUB	R1	43,701	44	566,907
Official Urban Peers				
University at Buffalo - SUNY	R1	30,648	61	410,220
Temple University	R1	39,967	85	276,011
University of South Florida (Main campus)	R1	43,540	43	581,561
Virginia Commonwealth University	R1	30,675	95	246,190
University of Illinois-Chicago	R1	30,539	69	361,690
University of Alabama-Birmingham	R1	20,902	42	588,207
University of Utah	R1	32,800	45	552,306
University of Louisville	R1	21,402	125	176,655
University of Colorado-Denver	R1	24,839	49	525,531
University of New Mexico (Main campus)	R1	26,221	94	251,322
Wayne State University	R1	27,604	99	238,859

Table 1. R&D Expenditures, IUPUI, IUB, and IUPUI's Official Urban Peers (2018)

To compete with this list of R1 peers, IUPUI would have to greatly increase its pursuit of external funding. There are many factors on the IUPUI campus that would have to change to support an effort of this magnitude.

Currently, the OVCR receives about 8% of the 20% of the indirect costs recovered by schools. Much of these funds are devoted to programs supporting faculty success in seeking external funding. The OVCR has observed a significant return on investment for internal funding and has done much to invest in the success of junior faculty. Researchers in all schools should leverage OVCR's success in supporting faculty advancement. With the support of IUPUI's offices of Research Administration and the Vice Chancellor of Research, faculty from a wide range of disciplines can pursue grants to support research to the benefit of the campus, the community, and individual careers. IUPUI's research support offices are key assets in the campus's current and future efforts to increase R&D expenditures, support faculty research profiles, and streamline proposal development.

If IUPUI intends to prepare its researchers and its research infrastructure for a future R1 Carnegie Classification, the following factors would need to be considered:

- Reassignment of School of Medicine faculty Research & Development to IUPUI (where its faculty are assigned) for the purposes of the Carnegie Classification
- Continued support for aggressive external funding strategies for IUPUI researchers
- Expansion of existing research and proposal development

Library Affairs Report

Determining R1 classification criteria for University Library is not a straight forward application of Carnegie criteria. In part, this is because the Carnegie Classification does not utilize data related to university libraries as part of its classification efforts. As such, the committee instead utilized IPEDS data to compare common factors across libraries: total expenditures; expenditures per student average; expenditures per tenure or tenure-track faculty expenditure; materials and service budget expenditures; and salaries and wages expenditures.

At the outset, a challenge of assessing IUPUI University Library in relation to its peers is the fact that IPEDS data used in benchmarking shows library statistics in aggregate for all campus libraries including professional schools such as medicine. As such, it is difficult to break out statistics of university libraries less their professional schools. This issue is compounded by the fact that at IUPUI the campus’s professional school libraries (most notably, for its size, the School of Medicine’s Ruth Lilly Medical Library) have separate budgets, collections, and employment profiles. These professional school libraries are accountable to the deans of the schools of Medicine, Law, and Dentistry. Nonetheless, faculty and students from any IUPUI school have access to all subscription resources and print materials from all libraries.

Amongst peers (13 total institutions), IUPUI ranks in bottom third of Total Expenditures (11), \$/Student (10), \$/Tenure or Tenure Track Faculty (11), Materials and Services (12), and Salaries and Wages (9).

	Total Library Expenditures	\$/Student	\$/Tenure or Tenure Track Faculty	Materials & Services	Salaries & Wages
IUPUI	\$16,940,446	\$673	\$14,442	\$6,774,817	\$6,389,211
Peer Mean	\$20,080,963	\$805	\$18,794	\$9,415,682	\$7,675,550
Peer Median	\$19,137,116	\$795	\$19,950	\$10,367,675	\$7,645,675

Figure 2. Library expenditures compared to peers.

IUPUI falls in the bottom third of their peers for spending in several categories including Total Library Expenses. The average spending per student and per tenure/tenure track faculty is higher for peers. Over the past 5 years, total library spending has remained flat (total expenditures) or has decreased (total materials and services, total salaries and wages). Public

R1 institutions' average total library expenditure is +\$8.7MM higher than the total library expenditure at IUPUI.

Currently 86% of IUPUI's materials and services expenditure is for subscription resources, in line with peers, but much higher than Public R1 & Aspirational Peers, reflective of the scholarly communication crisis resulting in maintaining access with average subscription annual price increases of 6% with a nearly flat budget.

The budgetary issues for IUPUI University Library are driven by the rising costs of subscriptions coupled with the needs to meet cost of living and other salary needs. The IFC Task Force on Library Procurement Strategies noted in 2018 that, "the current funding mechanism is a steady-state assessment (overall, steady-state) distributed among schools based on headcounts of faculty, graduate students, and undergraduates. This formula has been in existence for many years, but may not fit the current or aspirational activities that the University Library supports. The Task Force asks faculty governance (Budgetary Affairs, Research Affairs, Campus Planning Committee) and administration (Resource Planning Council, Office of the Vice Chancellor of Research) to consider alternatives, such as relationship to ICR funding." We reemphasize these findings and suggest that discussion ensue around matching University Library funding to the aspirational R1 status. While we recognize that a complete reconfiguration of the funding model is unlikely, we do believe that incremental steps should be identified to raise IUPUI's ranking among its library peers.

If IUPUI intends to prepare its researchers and its Library infrastructure for a future R1 Carnegie Classification, the following factors would need to be considered:

- Re-considering the campus funding formula to increase Library support
- Development of a more aggressive fundraising campaign to support additional Library facility renovations
- Consideration of the relationship between Indirect Cost Recovery dollars and the Library which provides a core service for all research.

Concluding Summary

If IUPUI is to be an R1 in the future, the university system will need to support that goal. In specific, the School of Medicine's faculty count, R&D, and PhD degrees will need to be attributed to the IUPUI campus. At the same time, if the libraries are to effectively serve an R1 institution, they will need increases in their budgets. The campus should continue to pursue local efforts to foster a strong research environment. We encourage a campus-wide solicitation of faculty feedback regarding perceived research support including an anonymous survey related to departmental, school, and campus support structures and funding. While some of this may have been generated as part of the review of Interim Vice Chancellor for Research and Graduation Education, Janice Blum, there is a need for a dedicated survey to understand where faculty articulate a need for greater support.

Some additional things to consider include: increasing the availability of internal awards and pilot funding, increasing the communication and outreach about existing funding mechanisms, and increasing OVCR's available support for proposal development. Libraries are also key to supporting researchers--with or without a move to R1 status, IUPUI's libraries are comparatively under-funded—as IUPUI's research capacity increases it will need to consider how to staff and fund libraries to support greater demand for resources and services.

IFC Research Affairs Committee
April 27, 2020, 9:00-10am
Zoom: <https://iu.zoom.us/j/361094437>

Agenda

Or Telephone:
Dial: +1 646 558 8656 (US Toll) or +1 669 900 6833 (US Toll)
Meeting ID: 361 094 437
International numbers available: <https://zoom.us/j/361094437>

Chair: Jere Odell (jdodell@iupui.edu)
Box folder: <https://iu.box.com/s/5k8bdb1c6wrxlmdxtuelo0r5xmbejxpx>

1. NOTE: This meeting will be recorded for notetaking.
2. Review of RAC Progress in 2019-2020:
(See report submitted to the Executive Committee, April 23:
<https://iu.box.com/s/ykwzyx0xqlkz7wtyh603381he3zdk850>)
 - a. Assignments in Progress:
 - *Report on R1 Status*: Jen Guiliano and I are drafting and will share with the committee in May.
 - *Indirect Cost Recovery practices*: On hold. RAC can review any outcomes of this work from the CAD.
 - *Loss of 501c3 status & impact on research*: Written response provided by Steve Martin (AVP, ORA):
<https://iu.box.com/s/8n9wum13tww1v14l75fb8o8b7iucusu22>
 - b. Assignments moving to next term?
 - Limited submission as assigned to campuses
 - IUCRG Program?
 - Monitoring Grand Challenges
3. COVID Response – Task Force 7 (includes Janice Blum (chair), Gabe Chu, Phil Goff, Marc Mendonca, Jere Odell, Janet Carpenter, Shiaofen Fang, Thomas Hurley, and Kristi Palmer)
 - a. Supporting Documents:
 - Task forces and charges:
<https://iu.box.com/s/pt9bn9ccf4qlpjsihhakd40fuuh0oyr1>
 - Reporting Matrix:
<https://iu.box.com/s/8mi713jntpttmig6q40d6z5hf388jqjx>
 - Supplemental questions focusing on impacts to research:
<https://iu.box.com/s/zhz6kfwmmg4cyjoa7jlenm4kwx70wds>
 - Inventory of schools that have responded:
<https://iu.box.com/s/3xxsdnqw2c35rox2dzw8dovoljadvahy>

b. Role of the RAC?

- Aid in soliciting responses
- Supplement matrix with responses focused on research
- Contribute to or recommend guidelines for a safe restart of research

4. Other concerns?

IFC Research Affairs Committee

April 27, 2020

Zoom

Minutes

Discussion:

- Research in COVID-19 Aftermath: How do we proceed?
- Report on IU readiness to become R1 institution
 - Steve Martin: 501c question – IRS has not yet decided
 - IU Foundation: change in tax policy will save the University money
- How indirects are used: CAD is handling this
- Limited submissions: IUB gets things that IUPUI doesn't sometimes
- Status/direction of Grand Challenges: there are some successful reports
- Task Force 7: COVID-19
 - Research Affairs input very important
 - Concern for lack of input
 - School by school
 - Research isn't happening?
 - Dean not supportive
 - What to do?
 - Lack of School of Science "wet lab"
 - Coggan: "diverse opinion"
 - Go through 200 faculty responses? Not possible
 - Research start June/July
 - PPE order to house? Building?
 - Ordering of mice: Core animal facilities
 - School needs lab workers, e-learning kids
 - COVID pay: research grant funds so money for no-cost extensions will be available
 - Kelly, SPEA, Informatics, Public Health, E&T and Social Work are not on the committees
 - Responses from CAD are needed!
 - Stephen Hundley, Kathy Johnson, Paydar are working on a matrix
 - Fred Cate: new graduate committee on research; undergraduate research students are not being discussed
 - BioCrossroads/Cummins: back to work document – screening for virus and antibodies
 - We need undergraduates back for research
 - Restrict stairways, safety issues
 - Undergrads at IUB take care of animals – not allowed on campus
 - Undergrads are the key drivers of research (maybe juniors or seniors)
 - Getting PPE has not been a problem (Chris Lapish)
 - We need the Research Affairs members to fill out the matrix and answer Janice's questions
 - Jen Guilliano has edited the matrix
 - Get department level aggregations: school research advisory committee

From: [Martin, Steve Allen](#)
To: [Odell, Jere](#)
Cc: [Blum, Janice S.](#)
Subject: RE: IFC Research Affairs Committee: 501(c)(3)?
Date: Thursday, April 23, 2020 5:32:41 PM

Hi Jere.

Thanks for your email and my apologies for the slow response.

I'm fine with submitting a written response. Hopefully the following addresses most concerns/questions:

Indiana University has submitted a request to the IRS to change its tax status from a 501 C 3 to being considered as "an integral part of the State". While the IRS has not yet ruled on the university's request, the Office of Research Administration(ORA) has researched the potential impacts to certain types of grant funding that may normally require 501 C 3 status as a criterion for eligibility. We have conferred with colleagues at other research universities that have the tax status of being "an integral part of the State" and found that they generally have not seen an impact with respect to eligibility. In cases where those universities encountered difficulties with sponsors accepting their tax status, they have utilized their associated foundations as the grant recipient.

Upon the IRS approving the change in tax status, ORA will be notifying all non-profit and foundation funders of current IU awards of the change in tax status. ORA is working with the IU Tax department to prepare this letter as well as a version that will be utilized with proposal submissions. ORA is also working with the IU Foundation to allow grant awards to be directed to IUF in cases where IU's new tax status is not acceptable. Those grants will still be managed through ORA and through IU grant accounts.

If anyone has any additional questions or concerns, please email me at stemarti@iu.edu.

From: Odell, Jere <jdodell@iupui.edu>
Sent: Tuesday, April 21, 2020 12:01 PM
To: Martin, Steve Allen <stemarti@iu.edu>
Cc: Blum, Janice S. <jblum@iupui.edu>
Subject: RE: IFC Research Affairs Committee: 501(c)(3)?

Hi Steve,

We have you on the calendar for a visit to the IFC RAC meeting on the morning of the 27th. Would you be interested in submitting a written response instead of visiting? If not, I'll make time for you at the beginning of the meeting.

I'm sure this is a busy time for you as it is for many of us. If you'd rather submit a written response, we could use a version of your email response below:

"My office was not involved with the decision to change the tax status so it might be better for your committee to speak with someone from the Office of Legal Counsel for issues outside of grant funding.

With respect to grant funding, I have reached out to a colleague at the University of Minnesota which holds the same tax status that IU is now requesting from the IRS. Minnesota has held this tax status for over 20 years. In the vast majority of cases, there have been no issues with funders (primarily foundations) accepting the new tax status. In cases where foundations weren't willing to accept their tax status, Minnesota routes the grants through their associated research foundation. I'm pursuing a similar path with the IU Foundation but I am still working through the details. IU has experience with this approach as all Lilly Endowment grants are made to IUF but managed by IU."

As I'm sure you are aware, the campus is busy working on Scenario Planning for COVID-19. The RAC will devote the majority of its April meeting to this effort with regard to the impacts on and needs of faculty researchers at IUPUI. (We will inform "Taskforce 7".)

Let me know what would work best for you—a written response or a short visit on Monday—and I'll add it to the agenda accordingly.

Best,

Jere Odell
Chair, Research Affairs Committee, IUPUI Faculty Council

From: Martin, Steve Allen
Sent: Wednesday, February 12, 2020 10:29 AM
To: Odell, Jere <jdodell@iupui.edu>
Cc: Blum, Janice S. <jblum@iupui.edu>
Subject: RE: IFC Research Affairs Committee: 501(c)(3)?

Thanks Jere.

I've add the April meeting to my calendar.

Best regards,
Steve

From: Odell, Jere <jdodell@iupui.edu>

Sent: Tuesday, February 11, 2020 5:29 PM

To: Martin, Steve Allen <stemarti@iu.edu>; Blum, Janice S. <jblum@iupui.edu>

Subject: RE: IFC Research Affairs Committee: 501(c)(3)?

Hi Steve,

Thank you for your willingness to speak to the RAC. I will put you at the top of the agenda for the April meeting.

I'll let the committee know in advance that you're not the person to address concerns about loan forgiveness, etc. We'll find another way to address those concerns ... and, in fact, I think it's a bit beyond the committee's scope.

We meet in University Library 2115G. Would you like me to send you a calendar invite?

Sincerely,

Jere

From: Martin, Steve Allen

Sent: Tuesday, February 11, 2020 5:02 PM

To: Odell, Jere <jdodell@iupui.edu>; Blum, Janice S. <jblum@iupui.edu>

Subject: RE: IFC Research Affairs Committee: 501(c)(3)?

Hi Jere.

Thanks for your email. My office was not involved with the decision to change the tax status so it might be better for your committee to speak with someone from the Office of Legal Counsel for issues outside of grant funding.

With respect to grant funding, I have reached out to a colleague at the University of Minnesota which holds the same tax status that IU is now requesting from the IRS. Minnesota has held this tax status for over 20 years. In the vast majority of cases, there have been no issues with funders (primarily foundations) accepting the new tax status. In cases where foundations weren't willing to accept their tax status, Minnesota routes the grants through their associated research foundation. I'm pursuing a similar path with the IU Foundation but I am still working through the details. IU has experience with this approach as all Lilly Endowment grants are made to IUF but managed by IU.

I would be happy to meet with the committee in April to discuss grant funding implications.

Best,
Steve

From: Odell, Jere <jdodell@iupui.edu>

Sent: Tuesday, February 11, 2020 4:50 PM

To: Martin, Steve Allen <stemarti@iu.edu>; Blum, Janice S. <jblum@iupui.edu>

Subject: IFC Research Affairs Committee: 501(c)(3)?

Dear Steve Martin,

I am the current chair of the Faculty Council Research Affairs Committee on the IUPUI campus. I have copied Dr. Janice Blum, who serves as an administrative liaison to the committee as Interim Vice Chancellor for Research.

Several members of the committee have reported that faculty from their schools are concerned about potential changes to the university's nonprofit status. In specific, they are worried about how such a change might limit their eligibility for some grants. They are also concerned about the implications to graduate student researchers and others that may rely on 501(c)(3) status for potential loan repayment forgiveness.

Would you be available to address some of these concerns for the committee?

Our meeting schedule:

Feb 24, 9am

March 23, 9am (agenda is full)

April 27, 9am

May 18, 9am

If you are unavailable, would you be able to recommend someone else that is knowledgeable about the university's plans and the implications?

Sincerely,

Jere

Jere Odell
Scholarly Communication Librarian
IUPUI University Library
755 W. Michigan St.
Indianapolis, IN 46202
(317) 274-5992
<https://ulib.iupui.edu/digitalscholarship/people/jereodell>
<http://orcid.org/0000-0001-5455-1471>

IFC Research Affairs Committee
May 18, 2020, 9:00-10am
Zoom: <https://iu.zoom.us/j/361094437>

Agenda

Or Telephone:
Dial: +1 646 558 8656 (US Toll) or +1 669 900 6833 (US Toll)
Meeting ID: 361 094 437
International numbers available: <https://zoom.us/u/adsCf2tLRi>

Chair: Jere Odell (jdodell@iupui.edu)
Box folder: <https://iu.box.com/s/5k8bdb1c6wrxlmdxtuelo0r5xmbejxpx>

1. NOTE: This meeting may be recorded for notetaking.
2. Minutes from April meeting:
<https://iu.box.com/s/ebkww9gbncug7c9p9cuqla1zcgyl3ahsq>
3. RAC Membership for 2020-2021?
 - a. **Term Expiring June 30, 2020**
 - Bhatwadekar, Ashay (Medicine): willing to serve another term
 - Chu, Tien-Men (Gabe) (Dentistry): willing to serve another term
 - Guiliano, Jennifer (Liberal Arts): willing to serve another term
 - Odell, Jere (University Library) (Chair): will to serve again, if needed
 - b. **Term Expiring June 30, 2021**
 - Coggan, Andrew (Health & Human Sciences)
 - Cohee, Andrea (Nursing)
 - ~~Ellsworth, Susannah (Medicine): left the university in January, needs a replacement?~~
 - ~~Foster, Erin (Medicine Library): leaving university in May; recommends Hannah Craven (Medical Library) as a replacement~~
 - Goff, Philip (Liberal Arts)
 - Han, Jiali (Public Health)
 - Lapish, Christopher (Science)
 - Na, Sungsoo (Engineering and Technology)
 - ~~Osili, Una (Philanthropy): stepping down, recommends Patricia Herzog Snell (Philanthropy) as a replacement~~
 - Picard, Christine (Science)
 - Pike, Caitlin (University Library)
 - ~~Tanaka, Hiromi (Medicine): asked to step down due to scheduling conflicts, needs replacement?~~
 - Yan, Jingwen (Informatics and Computing): unsure, will know by the end of the month
 - Zhu, Likun (Engineering and Technology)

- c. Expected volunteers coming from:
 - School of Education
 - Herron School of Art & Design
4. Draft Report- Progress Toward R1 Status:
<https://iu.box.com/s/mhsrkhg4ve738ges4jubxr1auedig0wj>
5. Progress Report: COVID-19 Scenario Planning – Research Task Force:
 - a. (FYI) -Supporting Documents from Other Universities/Industries: forthcoming.
 - b. Draft report from Survey:
<https://iu.box.com/s/dfps3iixai1csaw5yl0rvzbl0eiaepd6>
 - c. Status of IUPUI COVID-19 Scenario Planning (Janice?)
6. OnCore & Clinical Trials Data Reporting (Andrea Cohee)
7. Any assignments to suggest for the 2020-2021 term?
 - a. Limited submission as assigned to campuses?
 - b. IUCRG Program?
 - c. Monitoring Grand Challenges?
 - d. Clinical trials: registering & reporting?
 - e. COVID-19 Response & IUPUI Researcher?
8. Other concerns?

IFC Research Affairs Committee

May 18, 2020

Zoom

Minutes

Discussion:

- Committee members are dropping out or moving – we need to replace two members from Medicine; we also expect new members from Herron and Education.
- Research start-up guidelines – we are waiting for Fred Cate and Jay Hess to post guidelines for Summer and Fall.
 - June 1 – IU wide, then campuses
 - Cotton masks and hand sanitizer facilities will be provided which facilities will provide (may or may not be charged back)
 - We need to let them know which buildings, rooms and numbers of people are expected.
 - Safety is the number one priority
 - Research will begin first
 - Facilities will adjust HVAC based on how many people are in the buildings
 - Graduate students and postdocs (undergrads are not encouraged to return)
 - There should be a survey about how research is going this summer mid-way through to get feedback.
 - Jere wrote a summary from RAC survey – please read and amend as needed. The campus can use this feedback to help in the future.
 - President McRobbie has Dean Jay Hess's report and an announcement may be made Tuesday or Wednesday about return to research.
- Andree Cohee: Nursing has concerns regarding use of Encore for nursing research; extend patient/participant data; concerned that information entered is invasive (name, dob, address, etc.) as it is outside the IU system. This gives OnCore patient ID information – some concern as they are outside institutions/hospitals. It is needed for IU Simon Cancer Center for NCI reporting but what about heart patients? IRB – Encore: patient-based researchers. Nursing does not have dedicated research staff. Burden on nursing researchers. Multi-site studies – IU Health – large data aggregator. We can ask Tim Lautenschlaeger IUSCC: what data needs to be reported? Clinical trial data reporting-can we stream-line process? Why is it necessary?
- Agenda for next year: IU CRG: drop issue; limited submissions
- Sometimes IUPUI is not involved and IUB takes the lead on limited submissions proposals – future issues for RAC in fall
- AAU membership: only IUB member; IUPUI is a an APLU member)
- Monitoring Grand Challenges (GCs): IU pulling money back, would be good for RAC to hear updates as well as next steps for this large scale initiatives
 - Precision Medicine: informative report
 - Addiction Medicine: very good infrastructure – spur collaborations
 - Rolling phases: Money to GCs is being reduced; IUB Public Health: funding in GC for recruiting
 - Worthwhile gathering info for GC Final reports: what worked? What did not work? How could the GC process be improved?
- Differences in each program:
 - Addiction Center: lots of faculty recruiting
 - Environmental Change
 - Fellows Program: IUB Prepare for Environmental Change
- Marc proposed Jere to remain chair of RAC in coming year

IUPUI Research Affairs COVID Impact Survey: Summary Report

May 7, 2020

The anonymous survey was distributed by members of the Research Affairs Committee (voluntarily to individuals and email lists) and by Karen Lee to the complete membership of the IUPUI Faculty Council. The survey included both quantitative measures and open-ended qualitative questions. It received 86 responses.

Two schools submitted more than a dozen responses each – Liberal Arts (24) and Health and Human Sciences (18).

School	Responses
School of Liberal Arts	24
School of Health and Human Sciences	18
School of Science	9
School of Education	7
School of Medicine	7
School of Social Work	6
University Library	5
O'Neill School of Public and Environmental Affairs	3
Herron School of Art and Design	2
Robert H. McKinney School of Law	2
Lilly Family School of Philanthropy	1
School of Nursing	1
Unreported (probably IUPUC)	1
Total	86

1. How has your research been impacted by COVID-19?

The responses were overwhelmingly negative--only a handful reported increases in research activities (mostly writing). Seventeen respondents reported that their research had come to a complete stop— one reported losses of more than \$50,000.00, another that 300 mice has been euthanized, and several studies would be delayed by more than two years. Many comments revealed high levels of distress, for example:

“My research project was shut down. I also lost promised internal funding and equipment funding. I am crushed.”

“It has been very difficult to work on my scholarship, mostly due to the emotional toll COVID-19 has taken. Just everything is more challenging to do and takes longer as I am mentally not doing well. In addition, my scholarship involves communities (I am a public scholar) and right now its impossible to work withmy community partners due to the epidemic. Essentially my research/scholarship is in pause mode due to the epidemic.”

“cancelled internal grant money (multiple) from IUPUI/IUB; cancelled conferences; unable to go to archives to conduct summer research; personal, family tragedies owing to COVID making it difficult to work; very limited access to necessary library materials (ILL, hard copies of books)”

The following table represents an informal coding of responses:

Complaint	Count
Community-based research cancelled or suspended	11
Loss of grant-support or sabbatical	10
Loss of access to physical materials or equipment	9
Remote working inefficiencies	9
Stress and lost time due to childcare, eldercare, family illnesses	9
Research requires face-to-face interaction with human subjects	5
Increased effort of online teaching impacts research time	4
Loss of student labor	4
Loss of time due to study (re)design/changes in methods	3

2. Was the impact of COVID-19 positive (more grants submitted more grants funded, more time for faculty to work in research), negative impact (research ground to stop, slowed, some impacted - some not) or neutral? (some data is available) - COVID-19 has impacted my research.

Respondents were offered a seven-point scale (Extremely positive (1), Moderately positive (2), Slightly positive (3), Neither (4), Slightly negative (5), Moderately negative (6), Extremely negative (7)).

Over a third of respondents reported “Extremely negative” and another third reported “Moderately negative”. Overall, respondents scored the impact as 5.64 on the seven-point scale.

3. If your research was negatively impacted, what do you feel are first priorities that need to be addressed in terms of getting research mobilized and back at the same if not higher capacity?

The open-ended responses to this question reflected the variety to stresses and barriers that respondents are currently facing. However, there were some common themes—overwhelming, many respondents (n=18) left comments suggesting an eagerness to return to research on campus (presumably, while observing safety protocols). For example:

“Reopening wet-labs.”

“back to face to face situations”

“Ability to return to the field – travel restrictions lifted, grants issued”

“Allow people to come back to campus to do their work.”

A second dominant theme in responses (n=10) reflected the need for resumed, restored, or new internal funding. Perhaps reflecting the number of respondents from the School of Liberal Arts, half of these responses indicated a need for internal funding to support humanities and community-engaged research. For example:

“From the standpoint of community engaged and equity focused work, we anticipate an uptick when social distancing is eased and we (and our community counterparts) are able to assess damage from interrupted schooling, additional family and community stress/trauma to personal loss, economic downturn, additional care, etc. We also believe that the crisis has both intensified and drawn attention pre-existing disparities/inequities. Thus, we hope that resources and attention will be directed to these efforts”

“Restart and increase Arts + Humanities funding ASAP. Help connect Arts + Humanities faculty to science/public health/etc research projects.”

“Internal grant funding restored. Clear expectations that Schools should accept external funding for course buyouts. Resources for effective community engagement, possibly including more help for struggling organizations that work with us as community partners.”

“Non-COVID-19 funding for research and creative activity in the humanities and the arts.”

Other themes included:

Theme	Count
Clear protocols for safety and ready access to health testing and PPE for researchers	6
Funding to support course relief or time to do research	6
Support for researchers impacted by non-campus closures (daycare, schools, community organizations)	6
Calls for assistance (technology, time, funding) to support remote research with community partners	4
Clear plans about future teaching arrangements (on or off campus) so that faculty can better plan research schedules	3
Pausing P&T clocks or acknowledging lost effort	3
Access to library books or digital versions of books	2

4. Are researchers returning to campus to sustain research?

No. Only three respondents reported that they are on campus occasionally and only six respondents reported that their students are on campus occasionally to sustain research.

5. Are you working on grant proposals during the stay at home order?

Over half of the respondents are working on grant proposals at home (n=48, 57%).

6. Are you working on writing articles or manuscripts?

An overwhelming majority of respondents are working on writing projects (n=69, 80%).

7. Are you working holding research team meetings via Zoom?

A large majority of respondents are holding team meetings remotely (n=64, 76%).

8. Are you developing new collaborations with other departments on campus during COVID-19?

A majority of respondents have *not* been developing new, cross-campus, pandemic-related research collaborations (n=56, 65%).

9. Are you developing new collaborations with external partners during COVID-19?

Half of respondents are establishing new collaborations with external partners (n=44, 51%).

10. Do you anticipate working on research related to COVID-19 or its impact?

Most respondents do not anticipate that their research will be COVID-related in the future (n=51, 59%).

11. Rank the challenges below from most impactful to least impactful of your research efforts going forward.

Respondents are concerned about the reduced, school-level support for research as a result of budget constraints—65 respondents ranked this concern in their top three of the five factors. Many were also worried about reduced student enrollment leading to financial strain. However, a third of respondents reported that a reduced access to campus facilities and community partners as their top concern (n=28).

Challenge	Rank 1	Rank 2	Rank 3	Rank 4	Rank 5
Reduced student enrollment leading to less school \$ to support faculty and staff	17	22	16	13	13
Reduced graduate/undergraduate students on site/enrolled for fall to help with research	6	16	17	21	21
Loss of materials during campus slow down/stay at home order by state	3	17	14	26	21
Reduced access to laboratories, clinics, campus facilities or community partners	28	8	14	13	18
Reduced school support (\$ or time) for faculty research due to budget constraints	27	18	20	8	8

12. Will we be better prepared as a campus in planning and implementation when another crisis occurs?

Yes = 78% (n=62)

13. How can we plan for the next crisis? What do we need (PPE, improved policies/guidelines for work on site/communication, computing resources/tools, more help from Research Compliance, Research Administration, OVCR, Vice President for Research, campus or schools)?

In this open-ended question a few respondents reported satisfaction with campus efforts to address the crisis thus far. Many more respondents, however, had suggestions for improvement. Sixteen responses mentioned the need for PPE and another three mentioned testing or a vaccine. Some respondents felt that the response and the communication regarding research policies in the crisis have been chaotic. Ten respondents called for advance planning and clear protocols for future responses to pandemics and eight respondents called for streamlined communications and decision making about the response. Revealing comments include:

“Streamlined communications. I realize the current COVID situation is dynamic, timely decisions are made then changed, and opportunities made available. However, this information flows from various sources and often with a bit different narrative. It would be helpful to have a single source push of information as much as possible. The deluge of emails is challenging to navigate and sift through. When faculty ask questions about restrictions/opportunities, it remains difficult to provide a substantive answer.”

“Campus seemed caught by surprise. Initial response from EHS and covid19 email was lacking and chaotic. Research task force seems to lack sufficient numbers of active researchers with knowledge of biohazards to address the reboot. Campus is not clear on who will provide PPE for reboot”

“top down leadership, do not leave these difficult decisions up to our departments, etc. Make important decisions sooner so our local leadership doesn't have to toil in uncertainty/agonny and waste time.”

“A clearer more concise plan and clearer communication of that plan. I have observed the following. First, the people charged with implementing the plan do not have a good understanding of it. They have been unable to answer basic questions about administrative directives. They have also been unwilling to enact reasonable accommodations. Second, there have been multiple statements from different administrative units that appear contradictory. A single authoritative source would help, as would greater clarity.”

Other common themes include:

Theme	Count
Increase in internal funding	7
Technology, computing, digitization support for off-campus research	6
Clear guidelines for on-site research	4
Revisit limitations of RCM and impact on researchers	3
More spacious labs and offices	2
Support for furniture and other at home accommodations	2

14. List any other challenges you will face via a via your research efforts

This opportunity for respondents to report additional challenges repeated many of the themes surfaced in earlier questions. However, many respondents used this question as an opportunity to draw attention to increased burdens in their personal lives as well as the challenges of working and living in a community during a pandemic. With this in mind, one respondent observed, “This survey regretfully

assumes that we silo ourselves as academics and that is our only life role. Navigating this crisis has impacts far beyond our research agendas.”

Others echoed this fact by drawing attention to the demands of childcare and the strain on community organizations. Selected comments include:

“What has most impinged on my overall work is having the space and time to focus as a result of sheltering in place with my preschoolers. I wish the campus administration and governance leaders gave more attention to what working parents/guardians are dealing with and considering ways to mitigate challenges as we attempt to continue advancing our work.”

“something not addressed in the above questions is the disparate impact that COVID has on female faculty, especially those who are caring for (young) children. If there is no reliable childcare (and likely it won't be for an extended period of time), how can IUPUI ensure that these inequities are addressed. (Research clearly indicates that this impacts women more than men, although I agree that male faculty with young children will face challenges too.) This point is important, especially for junior faculty, but applies across board - how can annual reviews, merit raises (if they come back) account for the fact that faculty work under different circumstances that impact their productivity.”

“The impact of the pandemic will have a much longer lasting effect than the one year extension of the tenure clock. Tenure requirements should be more broad to include other types of work that may be done right now. Or understand that grants are not being reviewed, conferences are being cancelled, travel funds to future conferences cut... This will take a long time to recover from.”

“Child care!”

“most of our events our held off-campus we are having to having to navigate not only IU protocols, but other institutions of well. This means a)events may be cancelled by IU but not the external partner, leaving a disappointed community parter, b) events might be cancelled by the partner and not IU/us ... none of this is good or bad, but does require extensive staff energy in managing relationships which are central to mission delivery”

15. Please share any other concerns you have regarding research at IUPUI as it relates to the impact of COVID-19

The anxiety of respondents about the impact of the pandemic on their careers and on the well-being of their schools and labs are emphasized in responses to this question. Respondents worry about job security and, in one case, employment intimidation:

“intimidating faculty to go to classes and risk their safety as the campus is unable to enforce personal protection policies”

Two respondents expressed concerns for the health of “high-risk” faculty and staff.

The burden on women researchers was reemphasized and one respondent call for increased seed funding for women impacted by the crisis:

“We were not prepared, and that is a shame. The gender gap in STEM fields and research will widen because of this due to childcare constraints. I hope the campus will do something to address this specifically (provide seed funding to women directly impacted by this).”

Many reiterated concerns about fiscal support for research in the future and one respondent suggested that the university recoup funds for grants were tapped to support staff salaries during work-from-home conditions:

“the longer the shut down goes, the harder it will be to maintain the current level of productivity. This could soon mean that I am paying staff and students from my grants to effectively stay home. I am not suggesting that we should lift the shut down order early. Rather, I am suggesting that IU/IUPUI might consider how to help faculty recoup research funds lost to salary support during the shut down.”

And one respondent predicted human resources losses in the School of Medicine:

“There is going to be a mass number of faculty in the school of Medicine who are going to leave because of the handling of salaries, space and lack of financial support.”

A few respondents expressed worries that long-term planning and priorities would be lost due to crisis management:

“Every time there is a momentary crisis (Opioids, COVID-19, etc.), we're expected to drop our life's work and chase the fashionable thing if we want any funding. Then, when the university loses interest in that thing, we're to drop it and move on to the next thing. Consistent, broad, steady research support would be better.”

“I want to make sure we are not losing sight of the longterm impact of our decisions. Despite the short-term demands, we need to step back as we make decisions and ask how will our decisions impact the next 3 to 5 years.”

“My sense is that when things settle, we will begin to see some pernicious consequences of the trauma/fatigue playing out for some time. I hope we will keep that in mind as the immediate crisis fades and establish some sustained vehicles for help for our own students, faculty, staff and administration.”

Finally, several respondents report dissatisfaction with the university's messaging and response to the crisis:

“Administration - particularly upper administration - needs to be better organized and more thoughtful in their actions and future preparations”

“Am concerned there may be limited empathy and understanding that research will negatively impacted and understandably so. during this crisis.”

“It's stunning how long it took the Medical School to launch a state-wide random study of the extent and impact of Covid in Indiana. This was just announced last week. Eli Lilly launched their study 3 weeks ago. Why was the IU School of Medicine's response time so slow? Was it that they waited to partner with the state? Or was it due to inertia within the school?”

“I find the mixed messaging from the administration quite disconcerting. Public statements repeatedly claim that "research is ongoing", when in fact all non-essential research has been shut down, faculty locked out of their labs and offices, etc.”