

COMMISSION ON RESEARCH

September 13, 2006

325 Burruss Hall

3:30 – 5:00 p.m.

Members Present: M. Akers, R. Benson, S. K. DeDatta, B. Fenwick, R. Grange, C. Gray, V. Groover, R. Huckle, R. Murch, J. Phillips, C. Ragsdale, K. Roberto, M. Setareh, U. Vandsburger

Members Absent: R. Kapania, M. Kelly, J. Lesko, H. Odendaal, A. Olsen, R. Smith, and S. Turner

Invited Guests: B. Hausman, K. Miller, and T. Pickering

Others: P. Pettry

- 1. Introductions:** Dr. Karen Roberto welcomed the membership to the new year of the Commission. Everyone introduced themselves.
- 2. Election of Vice Chair:** Dr. Mike Akers was nominated to serve as vice chair but declined the nomination. Dr. Robert Grange volunteered and was elected as vice chair.
- 3. Overview – 2006-2007 Agenda:** Dr. Roberto provided background on some of the topics that will come before the Commission this academic year.
- 4. University Center Reviews:** Dr. Roberto and Dr. Pickering explained the process by which university centers and their directors are reviewed. The review report for the Human Computer Interaction Center will be presented at an upcoming meeting by Sherri Turner with the director, Dr. Francis Quek, possibly attending the meeting. Two state authorized centers, the Housing Center and the Water Center, will be reviewed this year. Dr. Roberto asked for volunteers to serve on the review committees. Ms. Gray volunteered to serve on the Housing Center review committee and Dr. Akers volunteered to serve on the Water Center review committee. Discussion followed on the review process.
- 5. Scholarly Research Integrity Procedures and Policies:** Dr. Fenwick began the discussion on research integrity by mentioning some cases of recent scrutiny of research practices at some U.S. institutions. As a result, he mentioned some institutions are actively recruiting for offices of research integrity and suggested the university may want to be proactive as well. Dr. Bernice Hausman, chair of the Committee on Faculty Ethics and guest of the Commission, said the Committee on Faculty Ethics had revised and strengthened the misconduct policy and presented it to the Commission on Faculty Affairs. She stated the Committee would like to be involved in any further revisions and then mentioned the

responsibilities of the Committee, which are mainly advisory to both the accuser and the accused. Discussion followed on the differences in perceptions within the university on what constitutes misconduct and the pros and cons of how the university addresses the issue. Dr. Hausman mentioned the code of federal regulations and stated the procedures at the university may not be robust enough. Dr. Fenwick said expectations and activities have gone up. He mentioned NIH has started doing its own investigations and said other agencies will follow their lead. Dr. Benson suggested a university-wide group be formed to analyze this more in depth. Dr. Roberto asked the membership to look at the policy in the Faculty Handbook as it is currently written before the next meeting. Dr. Fenwick will provide some background information at the next meeting. Dr. Hausman asked that communication between the Commission and the Committee on Faculty Ethics be kept open.

6. **Intellectual Property:** Dr. Fenwick announced there have been some changes in the intellectual property laws in the code of Virginia giving institutions more latitude to pass their own policies. He stated the Board of Visitors has been charged with crafting intellectual property policy, and this issue will be brought before the Commission fairly soon.
7. **Adjournment:**
Meeting adjourned at 4:35pm.

COMMISSION ON RESEARCH

October 11, 2006

325 Burruss Hall

3:30 – 5:00 p.m.

Members Present: M. Akers, E. Henneke for R. Benson, S. K. DeDatta, , R. Grange, C. Gray, V. Groover, W.R. Huckle, R. Murch, J. Phillips, C. Ragsdale, K. Roberto, M. Setareh, U. Vandsburger

Members Absent: B. Fenwick, R. Kapania, M. Kelly, J. Lesko, K. Miller, A. Olsen, J. Phillips, R. Smith

Invited Guests: B. Hausman, and T. Pickering

Others: R. Farley

- 1. Approval of Agenda:** A motion was made to approve agenda and seconded
- 2. Approval of Minutes:** Dr. Roberto asks for approval minutes of September 13, 2006. A motion was made to approve the minutes and it was seconded. Dr. Roberto asks for approval of the April 12, 2006 notes that will be put in minute form. A motion was made to be approved and it was seconded.
- 3. Introduction:** Dr. Roberto asks Bob Walters to give some background on himself. Dr. Walters came to Virginia Tech in 1985 and has been the Head of Aerospace and Ocean Engineering since 2002. Bob joined the Office of the VP for Research two weeks ago. He will help Research Expenditures, and be joining the COR.
- 4. Center Reviews:** Updates on the center reviews. All of the review work was finished and over the summer the report was being written by Sherry Turner was the Commission Representative. She was in a very serious accident over the summer and forced to take disability and retire from the university. Dr. Pickering has been in contact with her and she will try and find the notes and files and draft. Then she will send them on to Dr. Pickering. The two centers up for review this year have been communicated with to get committees established and send the letters out to the directors.
- 5. Institute for Society, Culture, and Environment:** The launching of the third Institute. The primary focus will come out of Social Sciences and Humanities and work with ICTAS and IBPHS. To help focus and facilitate fellowship in Social Sciences and Humanities the heart of this institute. The institute will operate same as ICTAS and IBPHS research distribution model. A preliminary Charter will be drafted. An interim director will be named for a period of time perhaps up to two years. State Quarter Committee – Chair will be Dean Niles, members Dean Knox. Dean Sorensen, Lay Nam Chang, Dean Depaw, Dr. Fenwick, Tim Luke.
- 6. Research Integrity Procedures and Policies:** Dr. Fenwick has put together a series of reviews, as well as some background information. How prepared would we be if we were to be investigated? The University does not have Office of Research Integrity or a person that has that role. What are our

recommendations and our beliefs that we have in place and how to move forward. This being our Charge to spend the time and studies to be able to make recommendations. Watched video, of some situations of allocations and/or misconduct. The faculty handbook is all that we have in place at this time. There is a sample policy to compare to our Faculty handbook. Agreed to proceed to have legal look at the faculty handbook, to see if we need more procedures and policies in place. Should we to have a (RIO) Research Integrity Officer (part-time). To continue at the next COR meeting.

7. Adjournment:

Meeting adjourned at 4:50pm.

COMMISSION ON RESEARCH

November 8, 2006

325 Burruss Hall

3:30 – 5:00 p.m.

Members Present: M. Akers, E. Henneke for R. Benson, S. K. DeDatta, B. Fenwick, R. Grange, V. Groover, W.R. Huckle, R. Kapania, K. Miller, R. Murch, A. Olsen, J. Phillips, M. Setareh, R. Smith, U. Vandsburger, R. Walters

Members Absent: C. Gray, M. Kelly, J. Lesko, C. Ragsdale, K.A. Roberto

Invited Guests: T. Pickering

Others: R. Farley

- 1. Approval of Agenda:** A motion was made to approve the agenda and seconded. Agenda was approved.
- 2. Approval of Minutes:** Dr. Grange asked for approval of the minutes of October 11, 2006. A motion was made for an amendment that A. Olson was present. With the amendment, a motion was made to approve the minutes and it was seconded. The minutes were approved.
- 3. Center Review:** Dr. Pickering sent a copy of the final report of the 5-year review of the Center for Human Computer Interaction (HCI) to the entire review committee for their input. The report was accepted. The review committee agreed that the Center was doing a good job. The committee recommended the Center be renewed and the director be reappointed. Dr. Pickering said the Center would be asked to update their charter documents. In response to a question posed on supporting documentations, Dr. Pickering will provide a 1-2 page appendix of the Centers' awards, expenditures, and publications. A letter will be sent to the provost with the report. Dr. Pickering asked the Commission to accept the report. A motion was made to accept the report with the changes, and the motion was approved.
- 4. Research Integrity Procedures and Policies:** Dr. Fenwick provided a series of reviews and handouts as background information. He provided information on some recent negative occurrences at the national level involving research integrity and the problems which occurred. He noted the inadequacy of Virginia Tech's policies and resources and suggested a subcommittee of the Commission be formed to make recommendations to bring our policy and practices up to federal regulations to include whistle blower protection. Dr. Fenwick stated his office has requested funding for an Office of Research Integrity, which would include a Research Integrity Officer (RIO). He questioned how prepared we are in the event we are investigated. It was determined the only recommendations

we have in place at this time are in the faculty handbook. The Commission agreed to look at the faculty handbook. Discussion will continue at the next COR meeting. Five individuals volunteered to serve on a subcommittee to study this issue and report to the Commission – Robert Grange, Robert Walters, William Huckle, Randy Murch, and John Phillips. A motion was made to accept the development and role of the subcommittee, seconded, and approved.

- 5. Other Business:** Dr. Fenwick informed the commission of a couple of changes in the research area. He mentioned the issue of export control. He stated that a group out of OSP has taken the lead in handling export controls. He also said we are doing this so well others are coming to us for advice. Dr. Fenwick provided background and possible strategies to support this growing area. Dr. Kapania expressed deep reservations regarding the new rules for export controls. As a result of an internal audit, Dr. Fenwick also mentioned the need for additional post-approval monitoring and suggested a plan to support this as well.

Dr. Fenwick discussed the departure of Dave Richardson. He informed the membership of Linda Bucy's appointment as Interim Assistant Vice President and Director of the Office of Sponsored Programs. Dr. Fenwick said a national search will be initiated in the near future. He also discussed the career ladder within the Office of Sponsored Programs and the stability it provides. Dr. Fenwick shared his plans for making OSP more electronic.

Dr. Fenwick also shared information on the one-time state funding for research, the Commonwealth Research Initiative. He mentioned the university will want to request a continuation of this funding next year. Dr. Fenwick reported we are on target with the university development campaign.

- 6. Adjournment:** Meeting adjourned at 4:50pm.

COMMISSION ON RESEARCH

February 14, 2007

325 Burruss Hall

3:30 – 5:00 p.m.

Members Present: E. Henneke for R. Benson, R. Grange, C. Gray, V. Groover, W. Huckle, R. Kapania, A. Olsen, J. Phillips, C. Ragsdale, K. Roberto, R. Smith, U. Vandsburger

Members Absent: M. Akers, B. Fenwick, S. K. DeDatta, M. Kelly, J. Lesko, R. Murch, M. Setareh

Invited Guests: K. Miller and T. Pickering

Others: P. Pettry

1. **Approval of Agenda:** Dr. Roberto convened the meeting. She added an additional item to the agenda under other business - COR representatives whose terms will expire – the Library Committee representative and the chair of the Commission. The agenda was approved with this addition.
2. **Approval of Minutes of December 6, 2006:** Dr. Roberto asked for approval of the minutes of the December meeting. The minutes were approved.
3. **Task Force on Research Integrity Procedures and Policies (Grange):** Dr. Grange reported on the progress the task force has made on the research integrity procedures and policies. One of the reasons for the change in policy is a mandate from Health and Human Services. The task force hopes to have the document to university governance by the end of March or early April. Dr. Grange described the process and the different possible scenarios with a charge of misconduct. Discussion followed on the responsibilities of the Research Integrity Officer. Suggestions were made to address the wording in the document to include undergraduate, graduate, staff, and faculty levels. Dr. Grange said the task force should have a final draft of the policies and procedures in about a month, which would then be brought before the Commission. Once the Commission approves, it would then proceed through the governance system.
4. **Updates:**
 - a. **Office of Sponsored Programs**
 - i. **Processes and Procedures:** Dr. Grange expressed concerns with the Office of Sponsored Programs, specifically lack of efficient response time to requests and training in policies. Dr. Roberto questioned if he had discussed his concerns with Mr. Richardson or Ms. Bucy. Dr. Phillips noted that some of the problems with OSP services may be a result of low salaries and high turnover that may be a result of the stress level of the pre-award officers. Dr. Pickering said that staff issues are being addressed; most recently, a career ladder, with adjusted salaries, has been implemented. Dr. Grange said the service is getting better, but it can be much better. Discussion continued about the need for a

survey of the faculty. Dr. Roberto suggested waiting until the new Assistant Vice President is appointed. Members agreed that the COR should meet with the Assistant VP as soon as s/he is appointed and offer our services in assessing the concerns of the faculty and strategizing solutions.

ii. Assistant Vice President for Sponsored Programs Administration: Dr. Pickering reported that the position announcement for the Assistant Vice President for Sponsored Programs Administration has been posted in a variety of locations. The review of applications will begin March 5, 2007. He stated the search committee has met and that they plan to involve the Commission in the interview process. Dr. Pickering said the goal is to have the Assistant Vice President on board by July 1.

b. Searches:

i. Research Integrity Officer: Dr. Pickering reported the Research Integrity Officer position has been approved and the job description is almost complete. This will, most likely, be an internal hire of a relatively senior faculty member.

ii. Post Approval Monitor (PAM) Officer: Dr. Pickering stated the post approval monitor position will be a staff position and will report to the Assistant Vice President for Research Compliance. It will be advertised as an open position for on- and off-campus individuals.

c. Center Reviews: Dr. Pickering reported the two center reviews (Virginia Center for Housing Research and the Virginia Water Resources Research Center) are progressing on schedule. There have been 2 to 3 meetings of each review committee.

d. Institute Charter -- ICTAS: Dr. Roberto stated that the charter for the Institute for Critical Technologies and Applied Sciences (ICTAS) will be presented at the March meeting. Dr. Roop Mahajan, director of ICTAS, will attend the meeting and provide a brief presentation about ICTAS and highlight key points in the charter.

5. Other Business:

a. Certification of Departmental Administrative and Business Practices (Internal Controls) Compliance: Mr. Miller reported that as a result of a request in the BOV Audit Committee last August, a certification process of administrative and business practices is being set up. The state controller's office has required this type of information as well. He stated the Survey Research Center has helped in setting up a survey, and that this survey will be vetted with a pilot group prior to distribution to departments. Dr. Kapania expressed concern with the time required by the department heads/directors in completing this task and taking away from more scholarly activities. A suggestion was made to have a senior person be responsible for collecting all information requested, whether survey or annual report, filling out the respective document and then having the department head/director sign. Mr. Miller said completing the survey is a requirement and that everyone will need to work together to protect our current resources. He also said this process will reveal areas in which improvements in business practices need to be made.

- b. Overhead Rate Increase (hand-out):** Mr. Miller explained the three reasons for the increase in the overhead rate: (1) In the past, the University dealt with DHHS and their mode of operation was whatever was submitted would be discounted. We now deal with ONR and they operate on the principle of what you submit is what you get. (2) The new buildings, Latham, the VBI buildings, Vivarium, and leases for the buildings at the CRC, are debt funded and this adds to the indirect cost pool; and (3) The increase in utility costs; Mr. Miller reported the University's contract with electricity is being renegotiated and will be going up 28% and that administrative costs are capped at 26%. Concerns were expressed regarding the continued cutting of funds by the federal government, issues with faculty summer salary, and difficulties created when agreements are made to take less than the full overhead rate. Dr. Grange mentioned the need for an action plan. Dr. Pickering said the nature of the issues and the problems are well recognized and that any sound proposal would be well received and pursued. Dr. Henneke said the real problem is lack of resources; the university tries to be everything to everyone and thus spreads the resources too thin.
 - c. NSF Expenditure Report:** Mr. Miller reported there was good growth on federal grants and contracts, with the University's activity up about 11%. He stated that although there was an increase of almost \$32M, our ranking for 2005 was 56, which was down one position from the previous year.
 - d. Representatives whose terms will expire:** Dr. Roberto indicated that Ms. Gray's term on the Commission ends this year and asked that she work with the Library to name a new library member to the Commission. Dr. Roberto also asked that nominations for chair of the 2007-08 Commission be submitted to Ms. Pettry by email prior to the March meeting.
- 6. Adjournment:** Meeting was adjourned at 5:10pm.

COMMISSION ON RESEARCH

March 21, 2007

210 Burruss Hall

3:30 – 5:00 p.m.

Members Present: E. Henneke for R. Benson, S. K. DeDatta, R. Grange, C. Gray, V. Groover, R. Kapania, J. Lesko, J. Phillips, C. Ragsdale, K. Roberto, M. Setareh, N. Stone

Members Absent: M. Akers, B. Fenwick, W. Huckle, M. Kelly, A. Olsen, R. Smith, R. Walters, U. Vandsburger

Invited Guests: K. Miller and T. Pickering

Others: P. Pettry

- 1. Approval of Agenda:** Agenda was approved as written.
- 2. Approval of Minutes of February 14, 2007:** The minutes were approved with one correction under section 3; specifically, changing the Public Health Service to Health and Human Services.
- 3. Task Force on Research Integrity Procedures and Policies:** Dr. Roberto provided information on progress made on the Research Misconduct Policy and related procedures since the last Commission meeting. Dr. Grange identified the members of the task force and stated they had taken the document template provided by The Department of Health and Human Services and individualized it for Virginia Tech. He also said a primary concern for the task force was to insure that the policy and procedures protects everyone. The task force produced a 4-page diagram and a 25-page draft procedures document, which was sent to the Commission for review prior to the meeting. The actual policy document was distributed at the meeting.

The discussion following Dr. Grange's presentation focused on adding key definitions to the policy, confidentiality issues, representation of the Graduate Commission on the task force, overlap with the honor courts and potential for conflict, inquiry committee membership, possible scenarios and the probable outcomes, the RIO's (research integrity officer) responsibilities, consistent involvement of the faculty, federal requirements, and the impact of confidentiality agreements. The membership agreed they hoped the policy would never need to be implemented.

After continued discussion on the process, it was determined that the flow chart needed changes. Dr. Roberto said the policy should be endorsed, and Dr. Grange stated approval of the policy should be contingent upon addressing the issues raised. There was continued discussion on the role of the RIO. Dr. DeDatta made a motion

to accept the policy with the requested changes. Ms. Gray seconded. The policy was approved with one abstention.

4. **Election of 2007-08 Chair:** Dr. Roberto announced there was one nomination for the position of chair of the Commission on Research for next academic year – Robert Grange. She asked for other nominations from the floor, and there were none. Dr. Grange was elected unanimously.
5. **Adjournment:** Meeting was adjourned at 4:55pm.

COMMISSION ON RESEARCH

April 11, 2007
325 Burruss Hall
3:30 – 5:00 p.m.

Members Present: M. Akers, S. K. DeDatta, B. Fenwick, R. Grange, C. Gray, V. Groover, W. Huckle, M. Patil for R. Kapania, A. Olsen, J. Phillips, K. Roberto, M. Setareh, N. Stone, R. Walters

Members Absent: R. Benson, M. Kelly, J. Lesko, C. Ragsdale, R. Smith, U. Vandsburger

Invited Guests: D. McGarry and T. Pickering

Others: P. Pettry

1. **Approval of Agenda:** The agenda was approved as written.
2. **Approval of Minutes of March 21, 2007:** A motion was made and seconded to approve the minutes. The minutes were approved.
3. **Faculty Scholarly Productivity Index (Fenwick):** Dr. Fenwick reported on the national NRC report surveying research productivity. He described the survey being used and the changes which have been made to include disciplines not previously addressed. He also mentioned a similar effort at SUNY called Academic Analytics and their procedures in comparison with the NRC effort. Dr. Fenwick stated that the hope is that the results of these surveys will be used as a barometer to identify those areas in which we do well and those areas where we need improvement. He informed the COR the NRC process should be finalized by late summer to early fall. A lengthy discussion followed on the university's pursuit of AAU status.
4. **Updates:**
 - a. **Research Misconduct Policy and Procedures (Roberto and Walters):** Dr. Walters reported that Dr. Roberto had successfully presented the document to Faculty Senate the previous evening. The policy had been approved by Faculty Senate, the Commission on Faculty Affairs, and University Legal Counsel. Dr. Walters announced that the first reading at University Council would be the following Monday and the second reading was scheduled in May. He thanked all the subcommittee members, and praised Bernice Hausman, and Carol Roberson for their diligent work.
 - b. **Search – Assistant Vice President for Sponsored Programs Administration (Walters):** Dr. Walters reported the search committee recently met and narrowed the list to four candidates. He stated the candidates' resumes will be posted on the Office of the Vice President for Research website and that his hopes are to have a hiring

decision made by commencement. Dr. Walters asked everyone to attend the open forums for each candidate.

5. Other Business:

a. Fringe Benefit Rates: Mr. McGarry provided handouts on historical data for fringe benefit rates from 2000 to 2007 as well as the proposed rate for 2008. He then provided background information on the procedures in determining the rates. Mr. McGarry mentioned how high medical rates have affected the fringe benefits rate. He also explained the difference in our rate compared with the University of Virginia. He also explained how faculty salaries and retirement affect the rates. A short discussion followed.

6. Center Reviews (Pickering): Dr. Pickering stated the review committees have completed their work and are in the final draft stages of the reports and that these should be completed by the end of the month. He said both centers will be recommended for renewal with recommendations for their directors to continue. The reports will be presented to the Commission early next academic year.

7. Adjournment: Meeting was adjourned at 4:45pm.