**Members in Attendance:** Jasbir Dhaliwal, Ali Fatemi, Amanda Rockinson-Szapkiw, Andrew Olney, Anita Boykins, Brandt Pence, Brian Waldron, Charles Langston, Chrysanthe Preza, Chuck Pierce, Chunrong Jia, Cody Havard, David Miguel Gray, Dipankar Dasgupta, Dursun Peksen, Erno Lindner, Gray Emmert, Hai H Trieu, Hongmei Zhang, Jermaine Johnson, James Murphy, John Evans, Katherine Lambert-Pennington, Kim Oller, Latrice Pichon, M Amini, Margie, Marie Gill, Maxime Paquette, Melissa Janoske McLean, Reza Banai, Ryan Fisher, Sanjay Mishra, Santosh Kumar, Sarah Potter, Satish Kedia, Stephanie Ivey, Steve Zanskas, Thomas R Sutter.

Cody Behles (Host), Laura Wright, Lauren Williams, Nichole Saulsberry-Scarboro, Stephanie Thompson.

**Members Absent:** Alfred Hall, Alena Allen, Colin Brett Chapell, J Gayle Beck, Gary L Bowlin, Kris-Stella Trump, Mohammed Yeasin

**Meeting Called to Order 3:00 p.m. Consideration of Minutes – October 29, 2020**
Motion to approve minutes by K. Oller and seconded by G. Emmert. Council unanimously approved minutes.

**Opening Remarks from Dr. Dhaliwal, Welcoming of new council members, R1 Carnegie Status Update, UMRF Venture Professorships, and CARES Act Funding.**
- Dr. Dhaliwal welcomed the new members of the council: Melissa Janoski, Jermaine Johnson, Elena Ellen, Reza Banai, Kris-Stella Trump, Mohammed Yeasin, Sanjay Mishra, and Chunrong Jia and introduced Dr. David Gray of philosophy as the new chair of the research committee of our faculty senate.
- Thanked and praised the council for their continued efforts towards the goal of R1 Carnegie Status, which he now expects us to qualify for next and emphasized the importance of sustaining the R1 Carnegie Status, by incentivizing researchers to secure their own funding, with performance based professorships and rewarding them proportionately to their performance.
- Congratulated the following faculty members for receiving Career Awards from federal agencies and their new UMRF professorships, Ranga Gopalakrishnan, Amber Jennings and Thomas Watson.
- Announced a "blended campaign" with the development group and chief development officer to raise 600 million total, 300 million from research and sponsored projects and 300 million from donations over the next six years. Donations toward research and direct funding for research work count towards goal. Funds from this campaign will contribute to achieving and sustaining R1 Carnegie Status, as well as funding more professorships and chairs of excellence.
- Emphasized the importance of securing funding now and urged council members to make all faculty aware that federal agencies such as the NIH and NSF have an

unprecedented amount of funds available for COVID related research as a result of the CARES act.

**Division News and Upcoming Initiatives**

- OSP (Stephanie Thompson) explained that as part of their role in OSP, which is to assist in facilitating research, they have set up a comprehensive guide on their website explaining the services that they offer. Stephanie introduced OSP's new contract administrator Margie Robertson, and reintroduced Laura Wright who is the proposal administrator, Hannah Yawn who is the civil award coordinator, Lauren Williams who is the award administrator, and Leslie Ingram who is the eRA administrator and Cayuse specialist. She announced the NSF will be decommissioning Fastlane in 2022, which means that all NSF proposals will need to be submitted via research.gov. The NSF has also transitioned to the SciENcv fillable PDF biosketch model for their current and pending support, and the NIH will also switch to this format in 2021. Emphasized the importance of listing all academic positions whether domestic, foreign, paid or voluntary on biosketches, because of the federal government's interest in preventing foreign interference. She announced the NIH has enabled the ability for the OSP office to view the summary statements and impact score in eRA Commons. The NIH is going to remove the resource section on the biosketch, instead it will be listed with other support which is due at just in time submission. With all proposals regardless of the submission methods, the amount of the funding, including non-monetary agreements, must be reviewed and authorized by our office, which means it needs to have be submitted to Cayuse. NDA's will not be routed for signature without a Cayuse record. She requested that if you receive any notices of awards, directly, please send them over to the awards inbox, OSP to her directly (Stephanie Thompson) or to just send them over to the team in order to ensure that they are processed in a timely manner. She highlighted the importance of submitting final proposals at least within five days before the deadline, in order to have a comprehensive review which will increase the success rate. Explained that only Dr Dhaliwal has the authority to sign agreements and urged other faculty members not to sign them as their signatures are not valid. Refer to the OSP email (osp@memphis.edu) for any OSP related questions or requests.
- Compliance (Beverly Jacobik – Jasbir instead) The RE7006 Faculty Incentive Compensation Update has passed the faculty senate and is awaiting approval from the president. He encouraged suggestion of new policies for research department by research faculty. He explained that the Research Compliance during COVID-19 policy is to allow deans of each respective building decide whether labs could be open or not and rejoiced at the fact that we have had no incidents within the research department. He then encouraged faculty members to attempt to secure awards and recognitions from outside of the university. A Cayuse record is only needed if the awards come through university, but regardless still let university know, and include on your conflicts of interests, so that you can be appropriately congratulated and praised and so it can be included in the universities research awards. In the monthly E-newsletter, there will

be a compliance corner set up for Beverly to directly communicate her concerns and a compliance taskforce possibly being set up afterwards.

- Research Development Updates (Cody Behles & Jasbir) Cody went over some key stats from the research report (document attached) including: total award count is up 13%, total number of dollars we received in awards is up about 25% from last year, research expenditure numbers are up about 20% over last year, our NSF awards were up about 147%, PI's awarded 500k or more increased by 85%. However, despite these good numbers our total proposals submitted was flat against last year, which is evidence of higher quality submissions receiving more approvals, and more funding. Dr Dhaliwal explained that in the previous year, total number of proposals had increased by 20% and as such the amount for this year was still something to be proud of. He (Dr Dhaliwal) went on to explain that we saw a shift away from state and local government support and towards more federal dollars which is especially good because we have a 43.5% F&A rate with the federal government, the amount of state funding was expected to go down because state and local governments are short on cash currently due to the pandemic and because there are simply a lot more federal dollars out there.

- R1 PostDoc Program (Cody Behles & Jasbir) The program ended with 29 postdocs positions funded in FY20. 54 external funding proposals were submitted with postdoc effort from those postdocs that were funded. 50% of those so far have been secured external funding for their second year, which has been about $4 million. 8 of them have been awarded funding for their second year from internal sources. Dr. Dhaliwal emphasized the importance of including post doc funding whenever you can include on any type of application, because it has a huge impact on R1 Carnegie status.

- The Gap or Bridge Funding Program (Cody Behles & Jasbir) The program has funded eight grants in six different departments, for a total of about $104,000 awarded. From those eight grants, we had 11 proposals submitted for which accounted for about $2.45 million in potential award dollars. Some of those award dollars have been received, and others are still pending.

- Fine Arts, Humanities, and Social Science Program (Cody Behles) Cody introduced Nichole Saulsberry-Scarboro, who's joined the research and development team. She is working with the arts humanities and social sciences faculty. He also expressed a hope to increase funding for those disciplines this year. 15 Fine Arts, Humanities, and Social Sciences Program grants were made last year. For pre-tenure subvention, image reproduction, professional indexing, field work and archival research. (See attached document for comprehensive list) Due to COVID 3 travel grants have been returned.

- Instrumentation & Research Equipment Database (Cody Behles) An instrumentation and equipment database was established to help faculty find resources on our campus, because we were running into issues where faculty weren't aware of some of the instrumentation that was available on campus, and they were going off campus to access it. This was put together with the help of several departments, and if you'd like to add to this or if you have things that are missing or need to be updated, there's information in the link in the slide deck(see attached document), or you can email Cody Behles directly.

- DoD Research Academy and NSF Career Academy Update (Cody Behles & Jasbir) In the last year two programs have been launched to help faculty. The DoD Research Academy which was a series of workshops put together to help navigate funding with the DoD. Within the DoD Research Academy there was a subgroup of seven faculty members pursuing young investigator programs. The NSF Early Career Academy had about 25 faculty members participate in the open workshops. A cohort of six faculty received intensive review from our external collaborators at McAllister and Quinn, who's services included Major Center or Institute's Application Red Team Review, strategic Research Development cohorts around water research, and servicing cybersecurity research grants. All of these workshops are available online through the **University of Memphis Research and Development Training Archive**. For more information about these programs contact Cody Behles. Dr Dhaliwal explained that these programs are just a subset of new programs launched in the last two years with the total being near 15. Unfortunately, due to financial shortfall of the University this year due to COVID the Division of Research and Innovation did receive the expected 5% allocation this year, as 60% of all carryforwards from every group were taken to overcome the budget shortfall.

- Research Application Development Pipeline (Cody Behles & Jasbir) Within the next few months, we intend to pilot a program that helps faculty, who have ideas for commercial applications that they want to develop, to service user populations or other groups to initiate that development and get things going. More information about this topic will be announced in the future, but if you have ideas about mobile applications that are related to your research, contact Cody Behles. Dr Dhaliwal further explained that the application development program would likely utilize university student's as developers and that the applications once developed would be handed to startups for monetization or the possibility of a new UMRF Ventures Mobile division that would manage the monetization of the apps and allow for the profits to flow back into the research division.

- Research Technology Advisory Committee (Hongmei Zhang). Dr. Dhaliwal opened the discuss for ICCShare which based on the equipment database built up last summer. The concern mainly focused on the distribution of the revenue (various fees charged from external users), whether the money should go to instrument owners as compensation or to the college school for long term benefits such as renews. Dr. Zhang emphasized that it is an ongoing proposal, the bullet is how to motivate faculty members and college schools to share their instrument and contribute efforts to the center, in order to achieve win-win/satisfaction on both sides. Dr. Emmert emphasized that one of the key points is to release faculty directors to some extent. Pointed out that it needs a strong commitment to eliminate the hesitation of faculty on sharing. Dr. Evans commented that there should be some provision attached for the compensation on efforts such as time consumption. Suggested to approach it as an external contract on different cases to satisfy both sides. Dr. Dhaliwal made the conclusion. The goal of research development is working with faculty members to increase the number of equipment on campus. Compared with the experience of some top universities which brought in

professional managers from outsource, we should think about our situation and conditions to maximize utilize this instrumentation to make it self-sufficient. He encouraged the Associate Deans to discuss the call with their colleges then bring the inputs back to join the committee's discussion ASAP. This idea is worth to be improved on the next meeting in spring for the university to fund.

- Research Policies, Research Misconduct (Steve Zanskas). Dr. Zanskas clarified that the purpose of all the editions and changes made on the draft misconduct policy which presented on last meeting was to increase the transparency of the policy's procedures. Dr. Dhaliwal thanked the efforts of Steve's committee, affirmed the legal implications of the policy using a previous case and concisely explained the composition of policy review board. The committee approved to move the policy to the policy review board. (see materials)

- Research Policies, Intellectual Property (Dr. Behles made a statement on behalf of Dr. Gary Bowlin). This is an intellectual property policy for the university. The Intellectual Property committee is seeking for volunteers. Dr. Dhaliwal advised the volunteers to look at other universities' policies for suggestions. Any volunteer please email Dr. Behles or Dr. Bowlin. (see slides)

- Export Controls Task Force (Dr. Zanskas presented on behalf of Beverly). He briefly introduced that the draft policy is based on the flyer provided by FBI. The targets of the export control are sensitive, proprietary, and classified information of universities. He mentioned that there is a city export controls course and solicited for volunteers. Dr. Dhaliwal pointed out that the implications of the policy should be recognized. Any volunteer, including non-UMRC members recommended are welcomed. Email the research development. (see materials)

**Call for New Task Forces**

- Aligning T&P Promotion Process to Carnegie R1 Culture Task Force (Santosh Kumar). Dr. Kumar introduced the policies used for encouraging R1 culture. First, it's similar to the T&P promotion process but with a merit salary increase/increment based on time bound. The university of California has a systematic process which follows a policy working well there, to ensure the research and funding that are commensurate to the R1 culture get suitable reward with salary increments, while the faculty are in the same rank. Second, the criteria for tenure promotion should be focus on both funding and citations to align to the next iteration of R1 classification. Third, the relations between applicants and external letter writers play an important role as it emphasized the reviewers' mental model – expecting performance that speak to higher citation, funding, and other aspects. Hence, it may help to create an R1 culture and become recognized as a major specialist. Dr. Dhaliwal stated the key is how research can be

rewarded from both citations, funded research, and other creative efforts. Volunteers email Dr. Dhaliwal, Dr. Kumar, or Dr. Behles. (see materials)

- Faculty Buyout Policy Task Force (Andrew Olney & Kim Oller). Dr. Olney briefly described the current conflicting policies among colleges and the limitations. He proposed to create a university level policy on faculty teaching buyout that accommodates high levels of research funding. The new policy includes allowing for 100% research funding, automatic approval process that allows for Dean/Chair to object, explicit funding level for teaching buyout. Based on the research of OIR institutions, this can be a pure research policy focuses on normal teaching. He also mentioned that it allows peers to teach a class every two years. Dr. Fatemi made an insight that the policy should be tied to research expenditure such as scholarships for doctoral students, postdocs, and stuff growth, to extend the policy to a bigger and holistic view. (see slides)
- Policy on Equity Holdings in New Ventures (Hai Trieu). This policy is combined into the intellectual property policy. Dr. Trieu came out some questions aimed to improve the intellectual property policy more clarity. Another decision is to clarify whether could get equity in faculty startup in addition to the equity from IP licensing agreements. Volunteers email Dr. Trieu, Dr. Bolin, Dr. Dhaliwal, and Dr. Behles. (see materials)
- Animal Care/Facilities Task Force (Karyl Buddington & Amy Curry). The taskforce is to provide input on modernizing current animal research program. Dr.Pence briefly described the evolution of this taskforce, involved in accreditation, practice alignment, facilities development, experiments optimizations, equipment availabilities. The new charge is to develop a vision and plan to support research using animals to further promote and maintain high research productivity and workforce development. Email Dr. Pence, Dr. Curry, and Dr. Dhaliwal.

Dr. Dhaliwal made the conclusion of each task force and indicated that it's important to have cross campus discussions about the criteria. Welcome any inputs for these task forces to move them forward to modernized and professional R1 culture.

**Meeting adjourned at 4:58 p.m.**