

**Regular Meeting of the State of Connecticut
Faculty Advisory Committee to the Board of Regents for Higher Education
October 14, 2016
61 Woodland St.
Hartford, CT**

Present:

Stephen Adair, Chair, Member, CCSU
Barbara Richards, Vice-Chair, Member, HCC
Greg DeSantis, Secretary, Alternate, HCC
Del Cummings, Member, NVCC
Mike Shea, Member, SCSU
Judy Wallace, Member, MXCC
William Lugo, Member, ECSU
Linda Wilder, Member, COSC
Myrna Garcia-Bowen, Member, CCSU
Patrice Farquharson, Member, COSC
Jay Brower, Alternate, WCSU
Meg Leake, Alternate, CCSU

Guests:

Jane Gates, Provost, CSU
Will O'Hare, TRCC
Joe Young, CCC (SAC)

1. Meeting was called to order at 1:09 PM
2. Review and approval of agenda
 - a. Agenda approved as amended (Cummings/Wilder), unanimous
3. Review and approval of September minutes
 - a. 9/9/16 minutes approved (Cummings/Wallace), unanimous
4. Discussion of proposed community college tuition increase
 - a. Barbara Richards reported on information from the BOR Finance Committee, details about the tabled tuition increase item, and also the general fiscal situation in the CSU, including whether there might be any possible structural change. Provost Gates indicated that the tuition increase will likely not be considered as a mid-year policy shift and provided further considerations regarding the policy proposal and the system's commitment to our students and to educational access. Discussion ensued regarding the policy and how it relates to normalization and two-year completion efforts, as well as other policies. State and system funding in general was discussed, as well as the relation of financial aid to tuition. Provost Gates mentioned a book that has been distributed: "Prioritizing Academic Programs and Services: Reallocating Resources to Achieve Strategic Balance" by Robert C. Dickeson, ISBN 978-0470559680.
5. Announcements

- a. Stephen Adair indicated that the Board of Regents will be meeting Thursday, October 20 at CCSU and likely announcing the next President of CCSU.
 - b. Stephen Adair discussed the TAP meeting at Gateway and the information presented, as well as questions about TAP spreadsheet information. Concerns were raised regarding the specific transfer process and the identification of those students. Provost Gates provided further details regarding the transfer tickets. A suggestion was made that contact information be available on the transfer ticket website regarding who specifically they could contact when preparing for transfer. The need to update information as it changes (course changes, program changes, etc.) was highlighted. The coordinating council was discussed and a potential meeting plan was discussed.
- 6. On a matter concerning intellectual property (Jane Gates)
 - a. Provost Gates discussed Connecticut state law and intellectual property. She suggested that the CSCU could look at an intellectual property system policy, how research by undergraduate students might be encouraged, and how related initiatives might support both students and institutions. See Appendix A, p.5 for potential models. Jay Brower indicated that CSU-AAUP has a proposal on this topic; see Appendix B, p. 41. Discussion followed regarding how IP policy is currently employed in the CSCU.
- 7. Resolution on Protecting Data in Research on Human Subjects
 - a. Stephen Adair introduced and provided background on this resolution. See Appendix C, p. 44, “Faculty Advisory Committee Resolution on Protecting Confidentiality in Research on Human Subjects.” Discussion followed regarding Freedom of Information requests as they relate to this matter. Research that exists beyond a single college in the CSCU and IRB at the system level was also discussed by Provost Gates.
 - b. Resolution approved (DeSantis/Wallace), unanimous
- 8. Brief committee reviews (for further information see www.ct.edu/about/planning)
 - a. Enrollment and retention
 - i. Mike Shea and Myrna Garcia-Bowen reported that focus groups consisting of faculty and staff from the CSCU will be used to explore ideas in recruitment and retention. Faculty and administrators will jointly conduct the focus groups.
 - b. Marketing
 - i. No recent information to report.
 - c. Human resources
 - i. Jay Brower and Meg Leake provided a brief report; FAC members were not able to attend the most recent meeting. A discussion followed regarding meeting frequency of some groups and inclusion of FAC members in meetings.
 - d. Financial aid

- i. Greg DeSantis reported that the committee has been continuing to work on items related to students not beginning classes, financial literacy, communication with students, and other matters.
 - e. Compliance
 - i. Judy Wallace stated that policy portal is being developed and should be available for public viewing soon. A survey of reports completed and in process has been sent out and the data of existing reports will be distributed.
 - f. Purchasing and contracting
 - i. No recent information to report. Stephen Adair indicated that a weeklong retreat is being explored involving individuals who work in purchasing around the system. Discussion followed regarding system positions, centralization, streamlining, and outsourcing. Further discussion about all work groups occurred regarding ongoing timelines for work groups and our current fiscal reality.
 - g. Academic calendar
 - i. Mike Shea reported that academic calendars have been approved through 2022 and provided further information about calendar programming possibilities and difficulties. Additional contextual information will be provided when the calendars are released. It was suggested that this information be distributed widely.
 - h. CCSU presidential search
 - i. Stephen Adair provided brief additional general information about the search.
 - i. IT
 - i. The joint October meeting has been rescheduled.
- 9. Update on conference
 - a. Stephen Adair reported that Sara Goldrick-Rab has been confirmed as the 2017 keynote speaker.
 - b. Meg Leake provided further conference updates regarding food, the upcoming call for proposals, save the date information, a tag line, and conference pathways. The committee meets again next week. Judy Wallace updated regarding the conference flyer/logo and whether it might work as a student project; further discussion will ensue at the conference committee meeting next week.
- 10. Update on FAC website
 - a. No report.
- 11. Election of replacement FAC member from small colleges
 - a. Stephen updated that the final small college should be providing a candidate in early November.
- 12. Other business
 - a. Stephen Adair and Barbara Richards discussed a potential legislative matter regarding FAC members.
 - b. Greg DeSantis proposed a 2017 meeting schedule. The following dates are not confirmed and will be discussed at the next FAC meeting. They are provided for further consideration only.

- i. Friday January 20 1-4
 - ii. Friday February 10 1-4
 - iii. Friday March 10 1-4
 - iv. Friday March 31 1-4
 - v. Friday April 21 1-4
 - vi. Friday May 12 1-4
 - vii. Friday June 9 1-4
 - viii. Friday July 14 1-4
 - ix. Friday August 25 1-4
 - x. Friday September 8 1-4
 - xi. Friday October 13 1-4
 - xii. Friday November 10 1-4
 - xiii. Friday December 8 1-4
 - c. Stephen raised the topic of the regular reports to the BOR and the timing of those as compared to FAC meetings.
13. Items for future FAC meetings
- a. Further discussion regarding intellectual property in the CSCU
 - b. Further discussion regarding 2017 meeting dates
14. Meeting adjourned at 4:01 PM

APPENDIX A

Intellectual Property Management Information

Provided to the Faculty Advisory Committee by Provost Jane Gates

Intellectual Property Management for Small Research Offices

Presenters:

Richard Wellons, GRC, Program Manager (co-author)

Thaddeus Guldbrandsen, Plymouth State University, Vice Provost for
Research & Engagement; with Greg Sullivan, TreMonti Consulting

Arjun Sanga, WiSys, Executive Director (co-author)

Stewards of Place

- Asserts that state colleges and universities have a unique relationship and responsibility to their community and region.
- Explores the inter-relationship between regional prosperity and higher education.
- Addresses four key areas of stewardship at state colleges and universities: civic engagement, P-12 schools, community and economic development, and internationalization.

Operationalizing Stewards of Place:

Implementing Regional Engagement and Economic Development Strategies

- A book-length handbook detailing how to implement regional economic and community engagement strategies using case studies drawn from multiple AASCU and GRC campuses.
<http://www.aascu.org/FreePublications/>

Intellectual Property Management

- Bayh-Dole – if you receive federal funds, IP management is required.
 - Compliance
 - Opportunity
- Faculty, students and alumni expect technology transfer services
 - Policies needed
 - Alumni engagement
- Stakeholders (state government, local business) expect university engagement in technology transfer

Intellectual Property Management

- Creates practical training opportunities and links to the community
 - Undergraduate research
 - Prototype development, app development
- Benefits regional economy
 - Startups generally stay in home region
- Benefits society by bringing innovations/ideas from the university to the public
- Brings resources to the institution in a resource limited environment
 - Leads to research and development funding
 - Has the potential to generate revenue

Intellectual Property Management Options

- Work with a private intellectual property law firm
 - Engage trusted group to assist in policy development
 - External experts can participate with administration in evaluating and managing intellectual property
- Engage a third-party technology transfer organization
 - Individually or collaboratively
 - Establish internal policy and contract for services
- Partner with larger institution
 - Contract for services through their technology transfer office
 - Engage law students through affiliated law school

Case Study Approaches to IP Management

- Plymouth State University (consulting organization)
- Elizabethtown College (law firm)
- University of Southern Maine (system law school)
- Wisconsin System (WiSys Technology Foundation)

Best Practices for IP Policy

- Include faculty, administration, and external stakeholders.
- Include a clear, reasonable, and transparent basis for sharing revenues from potential licensing.
- Avoid raising expectations of short-term revenue as a benefit from licensing and patent activity.
- Reward and acknowledge entrepreneurial activity and research.
- Should align with the mission of an institution.
- IP strategy should encourage the development of an innovation and entrepreneurial ecosystem that benefits the institution and community.
- Educate the campus and regional business community on the benefits of IP policy and requirements.

Intellectual Property Management for Small Research Offices

Thaddeus Guldbrandsen, Vice Provost for Research & Engagement
With Gregory Sullivan, TreMonti Consulting
July 7, 2016



GRC Webinar

- Academic institutions approach intellectual property management individually and through larger state systems and resources for the benefit of their overall mission and their surrounding communities. Brief case studies of intellectual property management issues and solutions are presented as a way of identifying some common intellectual property needs and potentially replicable solutions.



Responding to Bayh-Dole &

SMALL UNIVERSITIES RESPONDING TO BAYH-DOLE



Goals

1. Compliance
2. Faculty Support
3. Reputational Value
4. Student Support
5. Regional Impact
6. Financial Value

Solutions

- Help from Colleagues
 - Within the University System
 - Other Universities
 - GRC
- Hiring Consultant
- Campus Communications Campaign
 - Inclusive Process
- New IP Policies & Procedures
- Finding Success



Challenges

- Policies & Procedures
- Infrastructure & Resources
- Campus Education
- Culture Shift
- Success Stories

Contact Information:

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Vice Provost for Research & Engagement

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Operationalizing Stewards of Place:

Implementing Regional Engagement and Economic Development Strategies

Intellectual Property Management for Small Research Offices

Richard Wellons and Arjun Sanga

Arjun Sanga
Executive Director

AASCU Webinar
July 7, 2016

Overview

- Professional Background
- Context – Why engage in intellectual property management?
- Intellectual property (IP) management options for Regional Comprehensive Universities
- WiSys example
- Lessons learned

Professional Background

- Executive Director, WiSys Technology Foundation
- Associate Vice Chancellor – University of Texas System
- Corporate Counsel – University of Kansas Center for Research, Inc.

- APLU, AUTM, NACUA, NCURA
 - APLU – CICEP, Executive Committee, Chair of Metrics
 - AUTM – AVP, Metrics, Editor Annual Licensing Survey

- Registered Patent Attorney

- Practitioner – First time co-author for a book chapter

WiSys Example

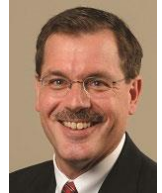
- Multi Institution Foundation
 - Engagement of Leaders
 - Financial Support
 - Strong/knowledgeable Trustees
- WiSys Structure
 - Board of Trustees
 - Advisory Committee
 - Contractual relationship and financial support from UW Institutions and UW System
 - Initial support from Wisconsin Alumni Research Foundation (WARF)/UW Madison

Our Trustees

David J. Ward, Chair



Dean Van Galen,
Chair Advisory
Committee



Leon Ostrowski, Vice Chair



David Brukardt



Carl Gulbrandsen, Treasurer



Leigh Cagan



Lorrie Heinemann,
Secretary and Chair,
FAA Committee



Tom Stafford



Our Advisors

Dean Van Galen, Chair



David Brukardt



Deborah Ford



Reed Hall



Tim Higgins



Anne Kaplan



Jonathan Murray



Bernie Patterson



Cathy Sandeen



Tom Still



WiSys Staff

Staff



Arjun Sanga
Executive Director



Jennifer Cook
Associate Director



Mike Cenci
IP & Contracts
Associate



Bri Maas
Communications
Specialist



Alicia Schiff
Executive
Assistant

Regional Associates



Tony Hanson
South



Kristen Ruka
Northwest



Mads Gjesen
Northeast

Student Interns



Caitlin Washburn
IP & Contracts



Will Ploch
Office Assistant

WiSys Regional Associate Program

Kristen Ruka
Northwest Region



Bob Wise
Northeast Region



FY15-16

- 542 New Inventors
- 55 Departments



Tony Hanson
Southern Region



WiSys Student Ambassadors

UW-Eau Claire



Sam Anderson



Tomas Benzo



Eric Miller

UW-La Crosse



Marcus Lowe



Rachel Neve

UW-Oshkosh



Sara Arafah



Adam Kositzke

UW-Parkside



Jacky Meremable

UW-Platteville



Josh Dust



Josh Inglett

UW-Stout



Tabitha Payne

UW-Superior



Randy Bender

UW-Whitewater



Bishop Freeman

WiSys Student Ambassadors

- 2015-16 Ambassadors
 - Prototype Hackathon
 - First of its kind
 - 11 teams, 22 student competitors
 - Diverse judges' panel
 - Ice cream socials, pizza lunches and other events to talk about Intellectual property and grants

UW-PLATTEVILLE PROTOTYPE HACKATHON



A UW-Platteville student presents his idea to use cold outdoor air as a refrigerant.

WiSys Student Ambassadors

- 2016-17 Ambassadors
 - 22 offers made to new ambassadors, 3 carrying over from last year:
 - UW-Eau Claire – 3
 - UW-Green Bay – 3
 - UW-La Crosse – 3
 - UW Oshkosh – 1
 - UW-Parkside – 3
 - UW-Platteville – 4
 - UW-River Falls – 3
 - UW-Stevens Point – 1
 - UW-Stout – 1
 - UW-Superior – 1
 - UW-Whitewater – 2
 - Orientation and reception August 17, 2016

Student Ambassador Alumni Profile



UW-Platteville

Zen Abbey, ME – Accepted job - Caterpillar, Prod. Dev. Eng., Innovation Gp

"I have had a phenomenal experience as a student ambassador, not only did I get to meet researchers and entrepreneurs, I got to learn more about cutting edge research and I got hands on experience with prototypes."

"An essential skill that I gained is my confidence in communication, which will be a benefit in my career as an engineer. Through the program I learned the basics of technology transfer, which enhanced my ability as a researcher and entrepreneur."

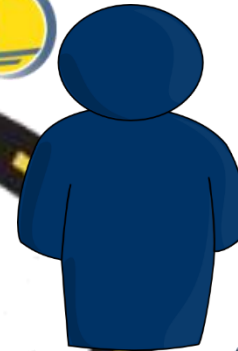


WiSys TECHNOLOGY™
FOUNDATION

Center for **Technology**
Commercialization



CENTER FOR
3C
DEVICE DESIGN & DEVELOPMENT



APP FACTORY
UW-PARKSIDE

2015 Wisconsin Science & Technology Symposium

207

Registered delegates
from across Wisconsin



99

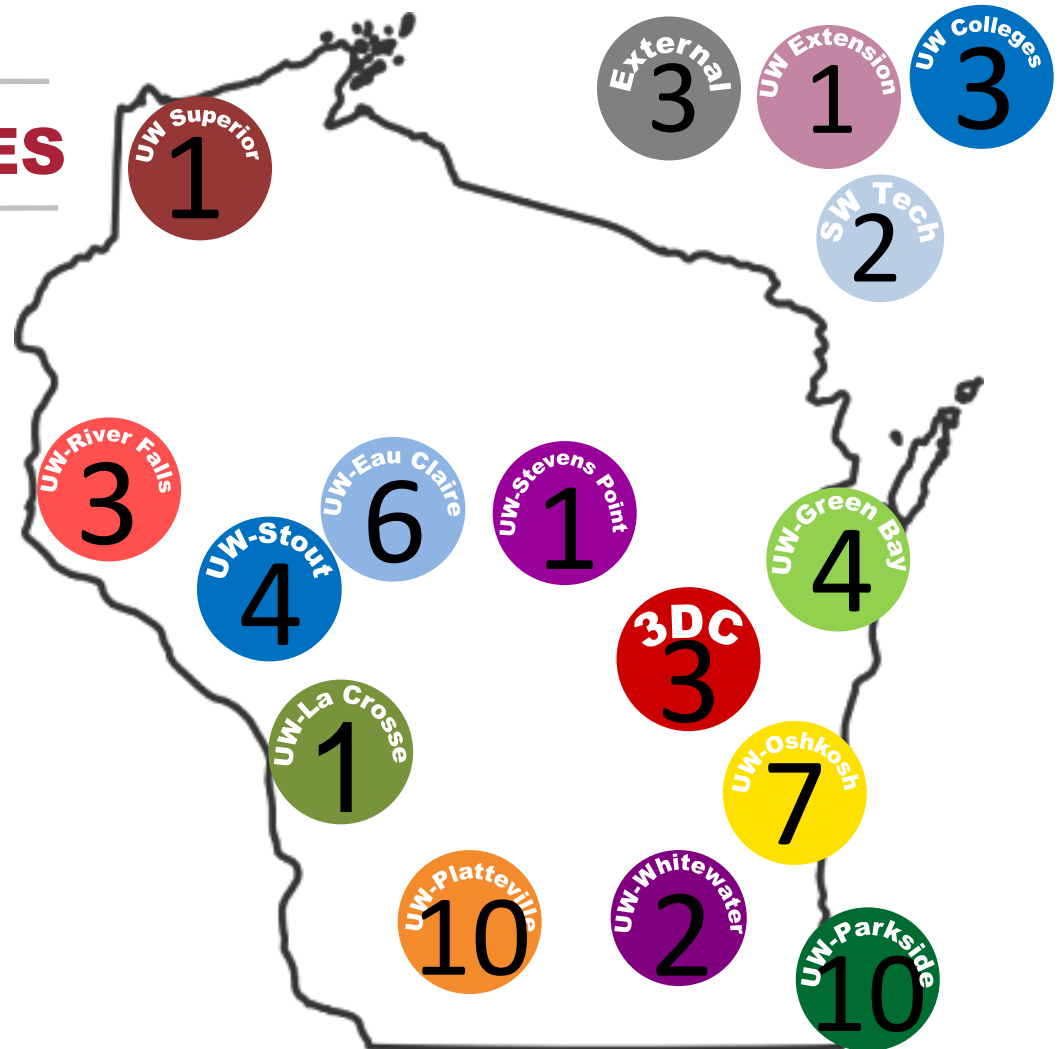
Undergraduate
students

- Hosted at UW-River Falls
- Spoon Wars ice cream challenge to highlight UWRF's Dairy Pilot Plant
- Focus on networking

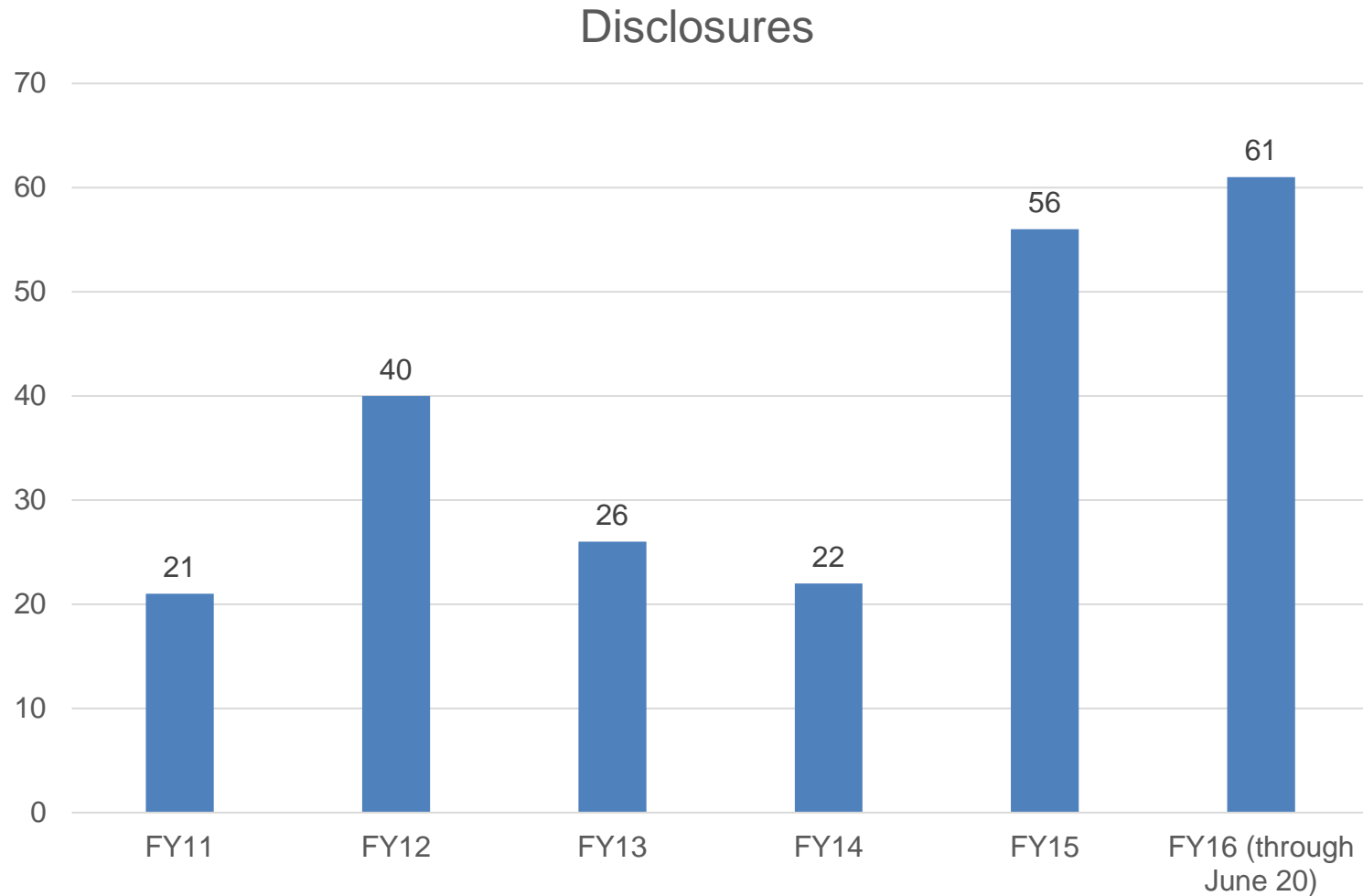
Disclosure Activity by Area (as of June 2016)

61 DISCLOSURES

 **11 MONTHS**

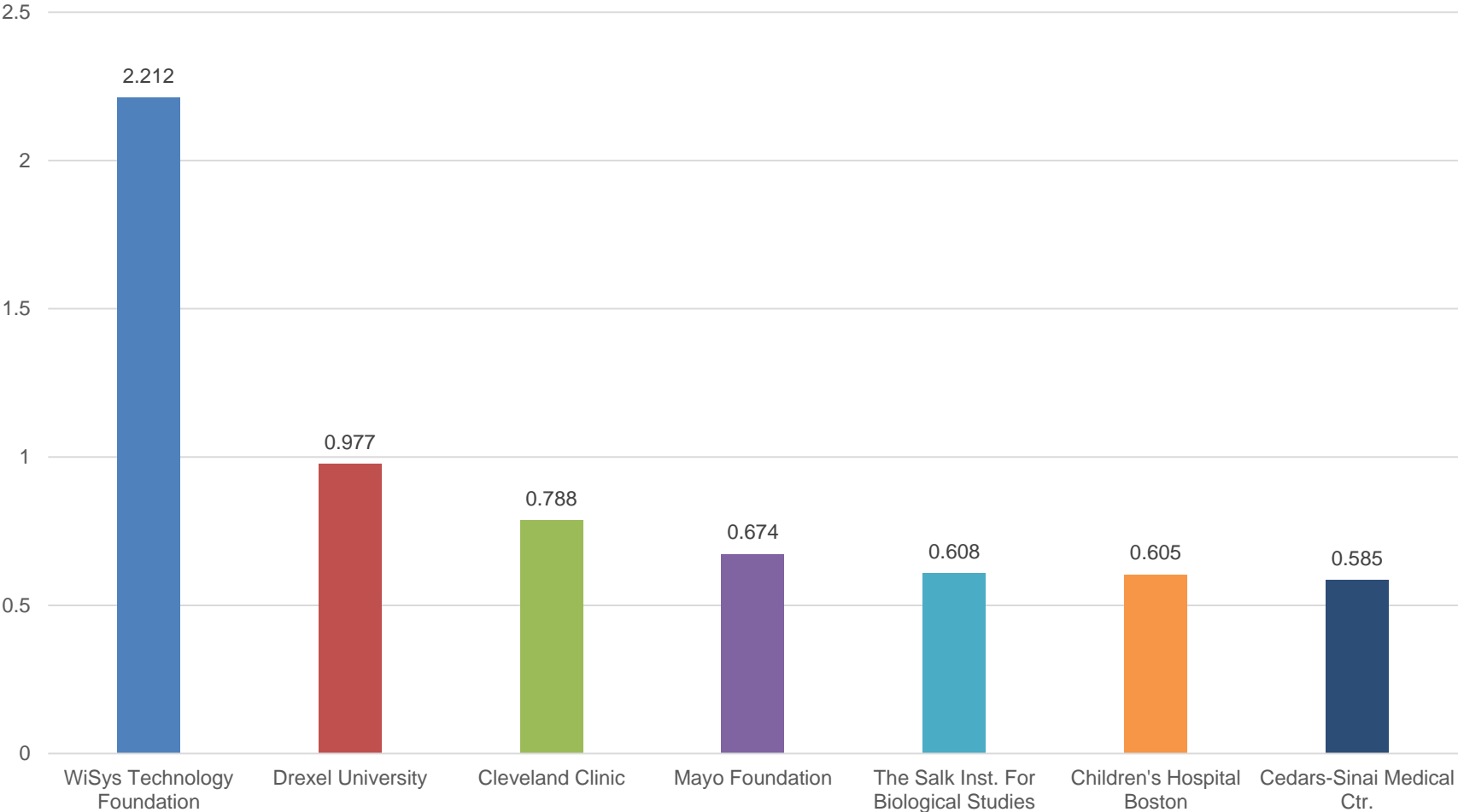


Disclosure Activity by Fiscal Year



National Disclosure Activity Comparison

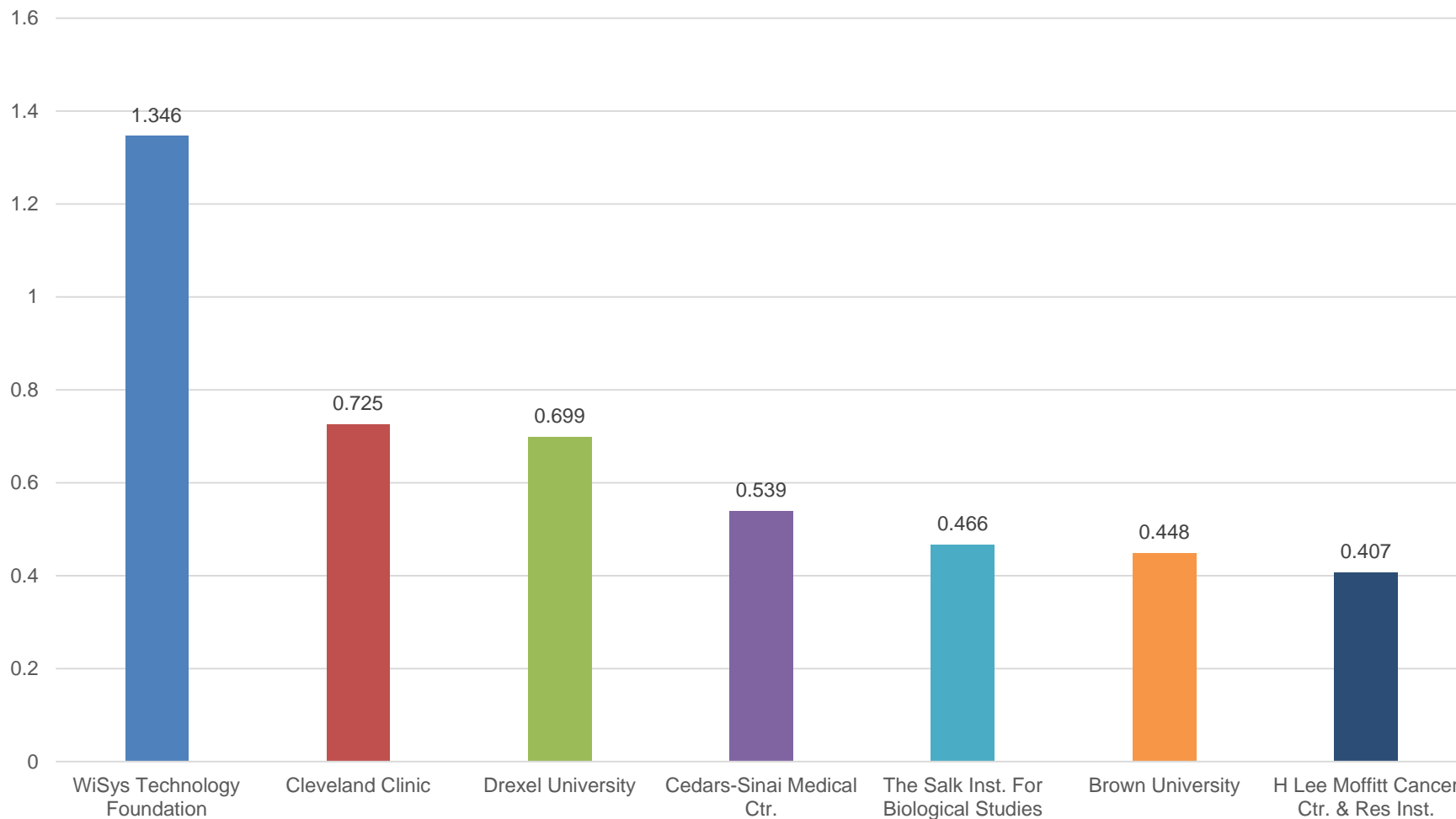
Disclosures per \$1M Research Expenditure



*Data from 2014 AUTM report

National Patent Activity Comparison

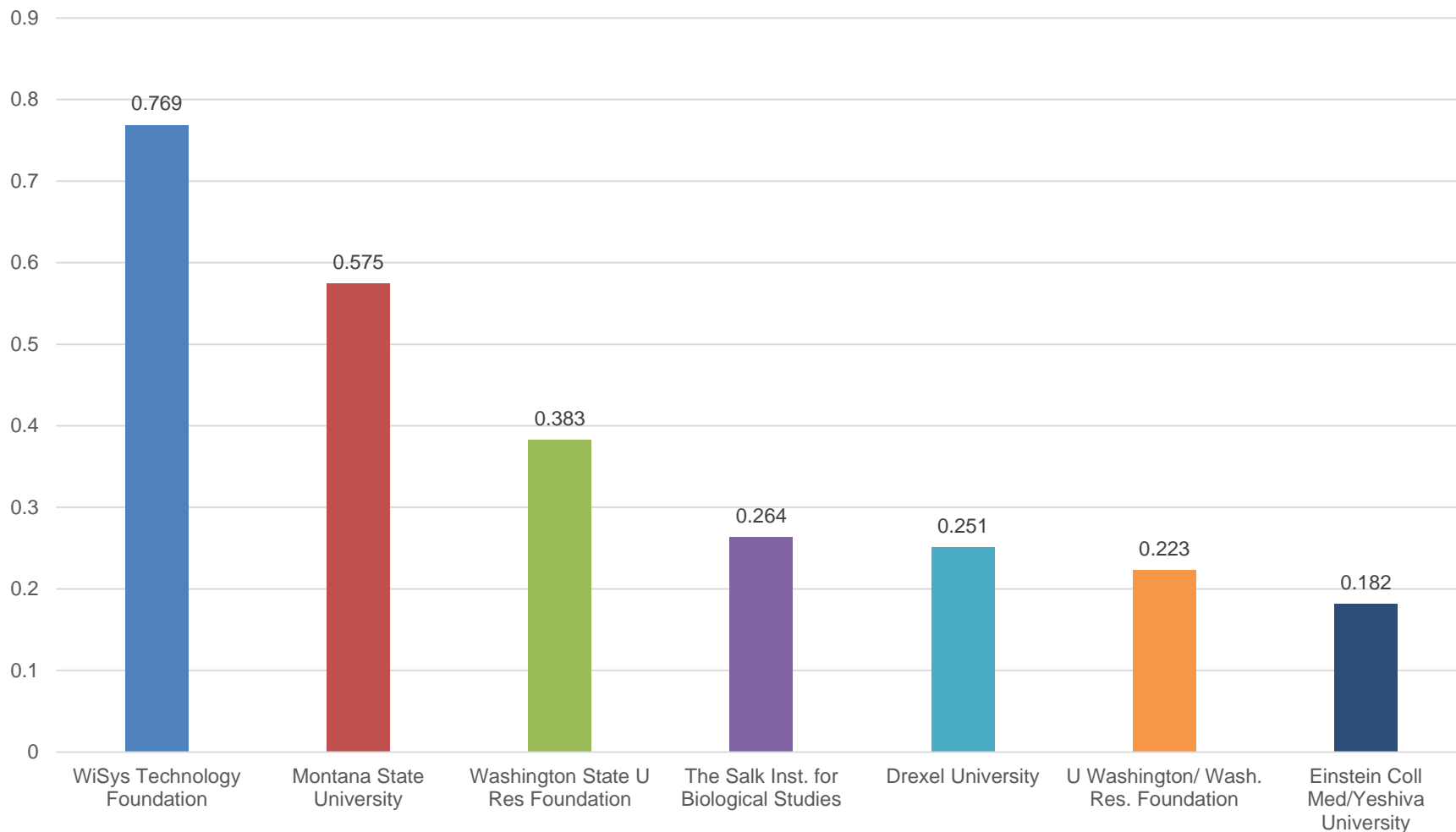
New Patent Filings per \$1M Research Expenditure



*Data from 2014 AUTM report

National Deals Activity Comparison

Deals per \$1M Research Expenditure



*Data from 2014 AUTM report

Lessons Learned

- Collaborate
- Plan for the long term
- Leaders need to be engaged to empower the activity
- Focus on how to make good business decisions rather than how to handle legal work

APPENDIX B

CSU-AAUP Collective Bargaining Agreement Proposal 9-29-15 Appendix E:
Intellectual Property and the Use of Information Technology

APPENDIX E

~~APPROVED UNIVERSITY COMPUTER USE POLICY~~ INTELLECTUAL PROPERTY AND THE USE OF INFORMATION TECHNOLOGY

~~All professional staff, management, unclassified confidentials, instructional faculty, administrative faculty, and all other employees are deemed to have authorization~~ All members are authorized to use Connecticut State University computer equipment for private academic research and writing on their own time when such use does not interfere with the needs of the University and subject to all other conditions of access to University computer facilities as may be established from time to time, on the following basis: The following provisions shall apply to the traditional products of faculty scholarly or creative activity, which shall include, but not be limited to, those products created, in whole or in part, transmitted, or modified using university information technology.

1. University computers may not be used at any time for the conduct of a private business enterprise.
2. The University shall make no claim for recompense for use of university computer equipment for word processing and preparation of manuscripts.
3. ~~Computer software products created by an employee specifically assigned to that task shall be the property of the University and the State of Connecticut. Said assignments may be the regular duty of the employee, or in lieu of such regularly assigned duties, or by special compensation under applicable collective bargaining agreement. The employee who created the computer software product shall assign all copyright and/or patent rights to the University.~~
4. ~~Computer software products created for research in a discipline and/or instructional use, not covered by 3 above, shall belong to the creator subject to the following restrictions:~~
 - a. ~~Such software products and all documentation shall be available at no cost to the University for instructional and administrative use.~~
 - b. ~~Sale of computer software products to the author's students shall not result in profit, royalty or like payment to the author.~~

~~5. Other computer software products created using university computer equipment, not covered by 3 and 4 above, shall be provided to the University for its perpetual use at no cost. The creator of such computer software products shall provide the University one copy complete with documentation, of the creation.~~

3. Traditional faculty products of scholarly or creative activity that have customarily been considered to be the restricted property of the author shall be owned by the author regardless of the medium of the work. Such traditional products include, but are not limited to, journal articles, textbooks, monographs, works of art including paintings and sculptures, musical compositions, computer programs and other digital code, syllabuses, and all other materials generated for the purposes of instruction or scholarship.

4. Members retain ownership of their own copyrightable works unless the work is subject to a separate written agreement that requires assignment to the university or to a third party. In the case of such assignment, in whole or in part, to the university, the member shall retain the right to use the material for his or her own use.

5. Royalties earned from the commercialization of traditional faculty products shall accrue entirely to the member author(s) as personal income, unless an alternate agreement has been established in writing between the member and the university.

~~6. Disputes concerning the meaning or application of this agreement shall be referred to Step 2 of the applicable collective bargaining grievance procedure. Step 3 shall be the final step in resolving said disputes.*~~

~~The parties to this agreement encourage all employees to aid and participate in the development and effective use of the University's computer system.~~

~~*Contract agreement for administrative and instructional faculty bargaining unit members. For all other employees, item #6 does not apply.~~

1/8/86 Rev. 1/15/86 & 1/23/86

~~**Original agreement signed January 16, 1986.~~

[Linked to the proposal in Article 10.15]

APPENDIX C

Faculty Advisory Committee

Resolution on Protecting Data in Research on Human Subjects

WHEREAS, BOR policy IT-001, passed on 10/18/2012 and revised 10/1/2015, stipulates that "all activities involving the use of ConnSCU IT systems are not personal or private" ...[and that] "users should have no expectation of privacy;"

WHEREAS, all research on human subjects should be approved by an institutional review board (IRB), and all federal grants that support research on human subjects require IRB approval;

WHEREAS, one of the three ethical principles that guide IRB decisions is respect for persons, which commonly requires researchers to seek informed consent from study participants and to maintain the confidentiality or anonymity of the research subjects;

WHEREAS, researchers in obtaining informed consent for study participants commonly pledge to take all necessary and practical steps to protect confidentiality or anonymity;

WHEREAS, researchers would seemingly be unable to protect confidentiality or anonymity because BOR policy IT-001 states that users have no expectations of privacy;

WHEREAS, data and information collected in research on human subjects is not a protected class of information under Connecticut's FOI laws and rules;

WHEREAS, the BOR has recognized research as an activity that furthers the mission of the Connecticut State Universities (see the resolution passed on June 20, 2013);

BE IT RESOLVED that the Faculty Advisory Committee recommends that the BOR modify policy IT-001 to recognize that all information collected in conjunction with research on human subjects be exempt from the no expectation of privacy provision;

BE IT FURTHER RESOLVED that the Faculty Advisory Committee expects the BOR and the system office to defend and protect the procedures established to maintain respect for persons in research on human subjects provided that those procedures were approved by an appropriate institutional review board.