Report of the 2021-2022 Research Policy Oversight Committee (RPOC)

March 30, 2022

Committee members:

- 1. Lori Ferrins (ResAssocProf-COS-Chemistry & Chemical Biology)
- 2. Kim Holloway (ViceProvost of Research; ex officio)
- 3. Neel Joshi (AssocProf-COS-Chemistry & Chemical Biology)
- 4. Deirdre Loughridge (AssocProf-CAMD-Music)
- 5. Steve Lustig (AssocProf-COE-Chemical Engineering)
- 6. Eric Stewart (AsstViceProvost, Dir., Space Planning; ex officio)
- 7. Madhavi Venkatesan (AsstTeachProf-CSSH-Economics)

Background to the Charge:

The Committee will review and assess the direction and implementation of the university's research mission, advocate broadly for research needs of faculty and research staff, review periodically and make recommendations on the university's research resources, infrastructures, and policies, serve as a research "ombuds-body" to address structural impediments and faculty complaints, and work with the Provost, the Senior Vice President for Administration & Finance, the Senior Vice President for Institutional Advancement, and the President to insure the best possible environment for research and scholarship.

Charge 1:

The committee shall examine the policies related to research activities and space. In particular, the following items should be examined leading to recommendations: (a) Implementation of template agreements regarding shared resources (space and equipment) in accordance with the recent senate resolution and with the Provost's Office (Sr. Vice-Provost for Research); (b) Shared research activity and space restrictions, limitations (and opportunities) implemented by NU initiatives for combating COVID-19, along with recently-established policies and procedures for their execution.

Procedures:

The Committee had its first meeting on September 17, 2021 and discussed this charge during subsequent meetings on October 22 and November 5, 2021. The former meeting discussion focused on the implementation of shared space agreements as implemented by the Provost's Office. The latter meeting discussion focused polling the implementation of shared space agreements with individual colleges. Surveys were emailed to administrators in each college who had responsibility for space planning and assignments. A copy of the RPOC template for shared resources was attached to each email, see Appendix 1. The email indicated that all responses are appreciated, but those received before December 13, 2021 could be included with this report. These email surveys and responses are provided as Appendix 2. The Committee also planned a list of questions for inclusion in the Faculty Senate fall survey, that completed December 5, 2021. This survey also included a copy of the RPOC template for shared resources that could be downloaded. The survey addressed both parts (a) and (b) of

Charge 1. These survey questions and responses are provided as Appendix 3 as raw data.

Findings:

- (a) The Assistant Vice Provost (AVP) for Academic Space Planning, Eric Stewart, is aware and supportive of the implementation of agreements regarding shared resources (space and equipment) in accordance with the recent senate resolution. This AVP indicates he does and will continue to encourage and endorse, but not mandate, use of the template to develop shared space agreements. Such an agreement was currently being developed for the motion capture space, using the template provided by the RPOC. The Provost Office indicates willingness to mediate the resolution of conflicts involving shared space, and this AVP is the first point of contact. In general colleges and departments are encouraged by the Provost Office to resolve conflicts on a local level. Those seeking assistance to resolve faculty conflicts not involving space should seek mediation with the Senior Vice Provost for Faculty Affairs, Deb Franko, and the Ombuds.
- (b) The RPOC received detailed responses from five of the nine colleges queried in the email survey; these are provided in Appendix 2. Only one college was previously aware of the Faculty Senate's recommendation resolution, but now all are informed and have received a copy of the Shared Resource Agreement Template. There are just a couple formally completed agreements within the University; most shared spaces are governed by ad hoc agreements. There are no repositories available to record or share agreements, some responders are planning to create such resources. There are several challenges reported:
 - 1) The current culture in general does not acknowledge benefits to sharing resources.
 - 2) New hires and new shared labs are brought online without clear expectations.
 - 3) It is difficult to expand or change research in shared space without expanding the space footprint itself.
 - 4) It remains difficult to find space for additional research support and students in shared spaces.
 - 5) It remains difficult to manage and operate shared equipment that are not in commonly assigned spaces.
- (c) The RPOC received a very broad response from the Faculty Senate survey. Of the 508 total responders, RPOC questions were answered by 200-400 responders. About 21% use shared facilities currently (that does not include fee-for-use facilities), 24% will likely use such space in the future, 55% are not likely to use shared facilities. No one indicated there is a charter agreement in place for any shared research spaces/equipment in which they work, and only 9% were aware of the Faculty Senate's shared charter template.

Recommendations:

(a) The RPOC shares concern that too much responsibility for creating and organizing agreements among all sharers of the same space and resources rests on those with the least influence and authority, such as those who are newly hired. The RPOC recommends that there be full disclosure during the interviewing and offer

negotiations to ensure that new hires are aware of expectations for sharing space and other resources, particularly in start-up accommodations. The RPOC recommends that college deans and department chairs ensure there is advocacy to support the interests and needs of the newly hired. The RPOC recommends that responsible space, finance, and administrative personnel at suitably high levels be involved in the early stages of planning.

- (b) The RPOC shares concern that fair and comprehensive agreements are in place for those going to EXP. RPOC recommends that administration shepherds shared space agreements in EXP.
- (c) The RPOC recommends that the results of the Senate Faculty survey be considered by department chairs, college deans, and all higher levels of administration. Many of the suggestions are actionable within their organizations.
- (d) The RPOC recommends that the Faculty Senate continue to monitor and advocate for the creation of charter agreements for all shared resources, including shared space and shared equipment.

Resolutions:

- BE IT RESOLVED that the Provost and Chancellor's offices, College Deans and
 Department Chairs review the results of the Faculty Senate survey and the 2021-2022
 RPOC report and develop an action plan for next academic year to increase efficiency of
 current research related processes discussed therein.
- BE IT RESOLVED that the office of the Provost adopt the template for research charter agreements for all shared resources, including shared space and equipment from the 2021-2022 RPOC report.

Charge 2: Following the committee's recommendation from 2020-2021 report, the committee shall meet quarterly with NU-RES and HSRP (Office of Human Subject Research Protection) staff to (a) continue exchange of operational information and system/platform updates, (b) facilitate faculty/research staff members' understanding of the University's progress, and to review KPIs and progress towards goals

Procedures:

The committee met with Nan Regina (02/18/2022) and corresponded with Robin Cyr (by email) from the Office of Human Subjects Research Protection (HSRP) and received an update on operations.

Findings:

Though it is understaffed (currently only 2 FTEs across the entire University), the
Office of HSRP has kept up with the University' needs for protocol approval, with
an average review time of 30-40 days.

- Increased research rate and expansion of the University via acquisition of new campuses (e.g. Mills) will put significant strain on the Office to keep up with its current pace. This may be exacerbated by the imminent retirement (timeline unclear) of Nan Regina, the current office Director.
- Another problem is that the current database solutions employed by HSRP may
 be insufficient to accommodate higher demand. Because of the pressures
 discussed above, the University has hired a consulting firm (HRP Consulting) in
 Fall 2021 to assess the situation and make recommendations about how to
 approach HSRP operations going forward.
- The firm will complete its evaluation and make recommendations by the end of March. The results will include recommendations on staffing, job descriptions, and possibly recommendations for software.
- The committee recognizes the hard work of the HSRP Office and thanks them for their ongoing commitment to facilitating research at the University.

Recommendations:

- The committee recommends updates to the IT capabilities of HSRP. A noncomprehensive list of improvements from our meeting is below:
 - Integration with ePAWS/eCLAWS
 - o Integration with other IRB protocols
 - Ability for investigators to see updates on protocol review progress
- The committee recommends that the University should continue to push for the resolution of these issues with HSRP operations to take advantage of the expertise of its current personnel.
- The committee supports the expansion of HSRP personnel to deal with the increasing needs of the University.

For further context about the relationship with the consulting firm, an email from Robin Cyr, Vice Provost for Research Administration, is excerpted in **Appendix 7**.

Resolutions:

- 1. BE IT RESOLVED that the Provost's Office should support, and advocate for, expansion of the HSRP personnel to deal with the increasing demands of the University in alignment with our R1 status.
- 2. BE IT RESOLVED that the Provost's Office should ensure that the IT capabilities of HSRP are expanded, and that they are afforded every opportunity to work with the developers to ensure better integration of systems.

Charge 3: The committee shall review and propose indicators and processes, needed in NU-RES, to identify and resolve contracts, especially with non-standard agencies,

foundations, and external contractors, which are not progressing with effective expediency.

Procedures:

The Committee first discussed this charge during our meeting on October 22, 2021 and subsequent discussion took place on November 5, 2021. Initial discussion centered around the need to invite NU-RES to attend, and present at one of the upcoming RPOC meetings. NU-RES are scheduled to attend the February 2022 meeting of RPOC. In the interim, NU-RES were asked to provide a report that addresses the state of contracts and agreements within the university. During our meeting in November 2021, we discussed the preliminary report which is in included as an appendix. The discussion touched on several points that were not addressed and are of immediate relevance to Charge 3. The report did not mention how many agreements had been stalled, or how long they were in this state; at what point in the process were the agreements stalled; whether there was a common bottleneck preventing progress; and what could be done to ensure that approvals are given in a timely fashion. A follow-up email from Dana Carroll (Associate Vice Provost (AVP) – NU-RES) on November 19 provided some additional clarity on these points.

Findings:

- (a) Electronic Contract Legal Agreements Workflow system (eCLAWs) was adopted in January 2020 and > 2500 agreements have since been approved. eCLAWS doesn't have operational reporting functionality that enables analysis of the length of time an agreement is at various review stops.
- (b) Anecdotally, NU-RES have noticed a decrease in the number of complaints over the past 2 years due to improved processing times.
- (c) NU-RES provided a breakdown of the average days to completion, median days to completion and the mode for several agreement types (**Appendix 5**). Of the 2,060 agreements that had been completed, 644 were completed in < 15 days. Of the remaining 1,416 agreements the average days to completion was 61, the median 44 and the mode 17. NU-RES noted that expedited requests do take priority, but this impacts the progress for other agreements.
- (d) The most significant variation in time to completion was in the sponsored research agreements (SRAs). In short, the delays tended to be due to complex agreements that involved multiple parties and NU-RES required multiple rounds of negotiation to resolve the issues. The following were given as representative examples of the issues that cause lengthy delays:
 - a. Agreement 1: 270 days. This was a new initiative that involved multiple NU offices in addition to the sponsor. There was significant discussion pertaining to the details of the agreement.
 - b. Agreement 2: 213 days. The contract was placed into a holding pattern when the sponsor paused the agreement due to instability arising from the pandemic.
 - c. Agreement 3: 207 days. There were multiple negotiations that related to I.P. between the sponsor and NU.

(e) NU-RES Research Administration (RA) provides weekly productivity reports to the Vice Provost Research Administration (VPRA), Robin Cyr, who shares the report with the respective college Associate Deans for Research (ADRs).

Recommendations:

- (a) The RPOC acknowledges that one of the biggest hurdles to increasing turnaround time is a lack of staffing. NU-RES was provisionally approved for 2 FTEs in FY2022
- (b) The RPOC encourages faculty to use the standard templates (created in conjunction with OGC) to increase the turnaround time (typically <5 business days) though we acknowledge that this is not always possible.
- (c) The RPOC would like to see greater functionality introduced into eCLAWs that enables NU-RES, faculty and administrators to understand how long agreements spend at each phase of the review process, and how this compares with the median.

Resolutions:

 BE IT RESOLVED that the Faculty Senate should support, and advocate for, increasing NU-RES capacity in alignment with their already agreed upon hiring strategy, and including IT improvements.

Charge 4: The committee shall review NU initiatives for research resumption after COVID-19, along with their execution.

Procedures:

The Committee first discussed this charge on September 17, 2021, with further discussions during subsequent meetings on October 22 and November 5, 2021. The Committee planned a list of questions for inclusion in the Faculty Senate fall survey, that was completed December 5, 2021. These survey questions and responses are provided as Appendix 3 as raw data, and some of the responses have been graphically represented in Appendix 6.

Findings:

- (a) The responses to the questions on "How well do you feel that the University handled the research resumption process?", "How well were the processes communicated?" have been graphed and can be seen in Appendix 6.
- (b) There are still several ongoing issues impacting research. Many issues are specific to colleges and campuses, and include the provision and cost of supplies (solvents, gloves, etc).
- (c) Many issues reflect administrative and cultural problems, only some are a result of the pandemic. Several respondents indicated that they are from satellite campuses and that they feel like "second-class citizens". Additional, faculty at the satellite campuses noted that "they cannot directly advise PhD students" or that it is unclear "how research will be rolled out at regional campuses".
- (d) Many comments reflected the lack of space that researchers have access to in order to drive their research programs.

Recommendations:

- (a) The Faculty indicated that supply chain shortages have severely impacted their research, and are continuing to do so. The RPOC recommends departments and colleges investigate whether stockrooms would be feasible. We recommend a survey of the researchers to understand whether bulk items could be purchased and stored on campus for internal distribution. Additional consideration would need to be given to understand whether discounts would be significant enough to offset costs in staffing and space.
- (b) The RPOC acknowledges the concerns of Faculty at other Northeastern sites that are part of our global network with respect to PhD student supervision. We recommend a working group seek to modify the graduate student bylaws to clarify the position with respect to PhD student supervision.
- (c) The RPOC encourages College and Departmental administrators to carefully review the feedback in the survey as many of these points are actionable at a local level.
- (d) The RPOC acknowledges that space on the Boston campus is at a premium, but we would recommend a survey of the space allocations and ensure that, where possible, labs and offices are co-located, and that the allocated lab space is sufficient for the Faculty member.

Resolutions:

- 1. BE IT RESOLVED that the 2022-2023 faculty senate charge the RPOC committee to conduct a feasibility study of each college to determine whether the demand for stock rooms on campus would alleviate current supply chain shortages.
- 2. BE IT RESOLVED that the 2022-2023 faculty senate charge the RPOC committee to conduct a survey of all colleges to assess space allocations to ensure that, where possible, labs and offices are co-located.

Charge 5: In collaboration with ITPC, LICC, the Provost's Office and NU ITS, evaluate the university's integrated services supporting the research data lifecycle, including protocols for data management and related data curation activities, including the option of systematic back up of university computers

Procedures: The committee discussed this charge on November 5, 2021, with further discussion during a meeting on January 21, 2022. The committee reached out to ITPC and LICC to learn what they were discussing with regards to this charge, and after receiving this information, sought additional clarification regarding the charge from the faculty senate.

Findings:

LICC is assessing library services supporting the research data lifecycle. ITPC is assessing library services as well as computing clusters under ITS. The clarification of this charge from the Senate Committee asks whether new procedures are necessary to enable the use of "virtual space" for storing non-sensitive research data and results,

under a centrally managed system which would ensure a permanent data repository accessible to internal and external researchers.

Recommendations:

Although the committee did not survey faculty specifically about the need for centrally managed "virtual space," the more open-ended faculty survey responses did not indicate specific concerns or needs regarding the university's integrated services supporting the research data lifecycle. RPOC has nothing to add to the work of ITPC and LICC on this charge at this time.

Resolutions:

None

Appendices:

- 1. Charge 1 Shared Resource Agreement Template
- 2. Charge 1 College Survey- Raw Results
- 3. Charge 1 and 4 Faculty Senate Survey- Raw Results
- 4. Charge 3 Preliminary Report from NU-RES
- 5. Charge 3 eCLAWs Database breakdown of time to completion for research contracts/agreements
- 6. Charge 4 Graphical representation of the Faculty responses to the COVID resumption questions in Appendix 4
- 7. Charge 2 Excerpted email from Robin Cyr, Vice Provost for Research Administration, providing context about the relationship with the consulting firm, HRP Consulting.

Appendix 1. Charge 1 – Shared Resource Agreement Template

Shared Facility Charter Template

Laboratories, offices, other physical space, and equipment supporting Northeastern University activities are valuable and limited resources requiring active management and continuous stewardship. Shared resources among University members can be assigned to address diverse space related needs in the University including: enabling efficiency in activities that require common resources, fostering collaboration between interdisciplinary activities, enabling close working relationships between University members, using and sharing common equipment, addressing the reality of shortage of space, among others. Support by the University, its colleges and its departments for the shared resources should result in better safety, community, and efficacy in the shared investments as faculty and staff can focus on the intended scholarship, teaching and service. The goal of this document is to offer salient prompts for discussion to create an efficient and equitable agreement concerning the use and operation of shared resources.

Key charter agreement points:

- 1. Define and describe the equipment and facilities that will be shared. Be specific. Include space, hardware, software, utilities, personnel, and all resources that are essential for the shared resource.
- 2. List all faculty and staff, principal investigators, etc., who will play a management role for the shared resources, as well as administrative responsibilities for those in the management roles.
- 3. List all stakeholders whose job functions require use of the shared resources. For each stakeholder, include the specific roles and responsibilities.
- 4. List the purposes intended for each of the shared resources as well as roles and responsibilities for staff. Be specific.
- 5. List how the shared physical space, resources, and equipment, or each component contained therein, will be utilized. For each item as appropriate, indicate: normal use and operation, training, access scheduling, required common supplies, replenishment of consumables, cost sharing, maintenance, repair, safety rules, protection of confidential information and intellectual property, and if results of shared resources will require joint attribution or credit.
- 6. Identify all on-going tasks, including for example: periodic management tasks, training, updating scheduling resources, performance of safety checks and follow-ups, ordering of shared consumables, coordinating of maintenance and repairs, billing for shared costs, regular communications between stakeholders, meetings between stakeholders, storage tasks, clean-out tasks, updating evergreen documentation, updating BioRAFT, among others. Identify who will perform each task. Identify when and how tasks will be rotated among stakeholders.
- 7. Identify how each college administration and/or how the University administration supports the shared space, e.g. with financial budgets, lab managers or directors, support technicians, support assistants, assistance for collaborative and synergistic projects, listservs, a first point of contact for troubleshooting and dispute resolution, among others, to enable better safety, community, and efficacy in the shared investments as faculty and staff can focus on the intended scholarship, teaching and service. List how University services, such as campus mail delivery, will operate to support the shared space.
- 8. Describe how the stakeholders will arbitrate. Consider regular meetings between stakeholders to discuss issues. Identify an appropriate hierarchy of aforementioned contacts in section 2 above to help resolve challenges and difficult issues.
- 9. Define the period at which the charter will be reviewed for any needed updates and changes. Once created, this document should be reviewed both periodically, i.e. at least annually, when new people are onboarded, and when new spaces or resources become available. For tenure-track, junior faculty, planning to revisit the contract during year three may be helpful.

The undersigned comprise all those in sections 2 and 3. They hereby agree on (i) the information documented herein, (ii) the operation and use of the shared space and resources

as described herein, (iii) the notification and agreement of all stakeholders before there is any significant modification to sections 1-9, and (iv) the actions mandated as described in sections 1-9.

Appendix 2. Charge 1 – College Survey- Raw Results

Survey Addressees:

College	Personnel (X and Y)				
College of Engineering	Shefelbine, Sandra <s.shefelbine@northeastern.edu>; Abowd, Gregory <g.abowd@northeastern.edu></g.abowd@northeastern.edu></s.shefelbine@northeastern.edu>				
College of Science	Stanton, Sarah <s.stanton@northeastern.edu>; Inman, Sam <s.inman@northeastern.edu>; Sive, Hazel <h.sive@northeastern.edu></h.sive@northeastern.edu></s.inman@northeastern.edu></s.stanton@northeastern.edu>				
Bouvé College of Health Sciences	Alexander-Doyle, Michael <m.alexander-doyle@northeastern.edu>; Schifilliti, Roy <r.schifilliti@northeastern.edu>; Sceppa, Carmen <c.sceppa@northeastern.edu></c.sceppa@northeastern.edu></r.schifilliti@northeastern.edu></m.alexander-doyle@northeastern.edu>				
Khoury College of Computer Science	Smith, Greg <g.smith@northeastern.edu>; Woods, Eric <e.woods@northeastern.edu>; Mislove, Alan <amislove@ccs.neu.edu></amislove@ccs.neu.edu></e.woods@northeastern.edu></g.smith@northeastern.edu>				
College of Social Sciences and Humanities	Rollins, James <j.rollins@northeastern.edu>; Poiger, Uta <u.poiger@northeastern.edu></u.poiger@northeastern.edu></j.rollins@northeastern.edu>				
D'Amore-McKim School of Business	Reilly, John <jo.reilly@northeastern.edu>; Trahan, Emery <e.trahan@northeastern.edu></e.trahan@northeastern.edu></jo.reilly@northeastern.edu>				
College of Arts, Media, and Design	Michael, Tom <t.michael@northeastern.edu>; Hudson, Elizabeth <g.hudson@northeastern.edu></g.hudson@northeastern.edu></t.michael@northeastern.edu>				
School of Law	Gallivan, Kerry <k.gallivan@northeastern.edu>; Hackney, James <j.hackney@northeastern.edu></j.hackney@northeastern.edu></k.gallivan@northeastern.edu>				
College of Professional Studies	Gladstone, Michael <m.gladstone@northeastern.edu>; Fields, David <d.fields@northeastern.edu></d.fields@northeastern.edu></m.gladstone@northeastern.edu>				

Survey Email:

Subject: RESPONSE REQUESTED to Faculty Senate research policy committee

Dear X and Y,

I am writing on behalf of the Faculty Senate Research Policy Oversight Committee and hope you might please share with us your thoughts on how your college facilitates the use of shared research space and facilities. This email provides some background for the reason we are reaching out to you and poses survey questions. Your responses will help us assess new ways to improve research effectiveness at Northeastern University and will be included in a report that goes to the Faculty Senate in January. Responses received by December 13th will be reflected in the report, but all responses are appreciated.

There are multitudes of good reasons to share research space and resources among colleges and departments, but trouble-free sharing requires active coordination and stewardship.

Strategies and planning can help stakeholders avoid stress, challenges, and disagreements. At the end of the 2018-2019 academic year, the Faculty Senate unanimously passed a resolution recommending that the Office of the Provost work with the colleges to implement charter agreements among those faculty and staff who share resources, such as lab space, instruments, and other facilities. This committee drafted a charter template to help draft a suitable, specific charter agreement among those who share and administer shared resources. The template attached herein. The Provost's office has indicated support for shared space charters, but is recommending implementation at the College/department level.

We would be very grateful if you please take a few moments to reply to these questions by return email:

- 1. Are you aware of the Faculty Senate's recommendation to implement shared resource agreements?
- 2. Are you aware whether shared resource agreements are being implemented in your organization?
- 3. How does your organization support those assigned to work in shared space and shared facilities?
- 4. Is there a repository of executed agreements in your organization?
- 5. Can others find and read these agreements?
- 6. What mechanism exists in your organization to review executed agreements?
- 7. What challenges have you experienced implementing agreements?
- 8. What difficulties are being experienced by those in your organization who share space and equipment?

With best regards, on behalf of the 2021-2022 Research Policy Oversight Committee:

Lori Ferrins

Kim Holloway

Neel Joshi

Deirdre Loughridge

Steve Lustig

Eric Stewart

Madhavi Venkatesan

Survey Responses:

College of Engineering

Steve and committee,

Thank you for your work on developing the sharing policy. Below are answers to the questions (from the point of view of COE AD of Space). This is an important issue that we are not very good at (but falls under my remit). More than happy to be a "pilot study" for implementation.

Sorry for the slow reply - last week was insane. Happy to elaborate on anything. This gives you an idea of "status quo" - lots of room for improvement.
Sandra
We would be very grateful if you please take a few moments to reply to these questions by return email:
Are you aware of the Faculty Senate's recommendation to implement shared resource agreements? No-But COE research goals are aligned.
Are you aware whether shared resource agreements are being implemented in your organization?
Most are ad-hoc. Official ones occur after there are problems, which is not the right way to do things.
3. How does your organization support those assigned to work in shared space and shared facilities?
Depending on context. Usually there is very little support for sharing - contributions to maintenance and training are done ad hoc (I do not think is the best way - just reporting status quo)
4. Is there a repository of executed agreements in your organization? no - Would like to set one up.
5. Can others find and read these agreements? exactly to help others set up their agreements
6. What mechanism exists in your organization to review executed agreements? The one agreement I was part of was reviewed by chairs/deans of affiliated departments.
7. What challenges have you experienced implementing agreements? Who will pay. "Why should I share? What is in it for me? This is too much of my time." General lack of acknowledgement that there is benefit to sharing.
8. What difficulties are being experienced by those in your organization who share space and equipment?
Who pays for it? Who is responsible for training? What are the penalties for "poor sharing".
College of Science

Steve –

Please find our responses to your questions below. If there are any questions on the feedback, please let us know.

1. Are you aware of the Faculty Senate's recommendation to implement shared resource agreements?

A: No. We were not aware of this.

2. Are you aware whether shared resource agreements are being implemented in your organization?

A: We have been involved in a variety of resource and space sharing negotiations recently (past two years). However, these range from the more formal (shared research facility agreements, formerly known as cores) to the more ad hoc (a memorandum of understanding to oversee operations in the Motion Capture Lab, shared between three colleges). We have not, however, known of this additional template for a shared resource agreement.

3. How does your organization support those assigned to work in shared space and shared facilities?

A: The College provides ongoing financial support (when appropriate/negotiated), administrative support, and planning support to shared facilities within our immediate sphere. Most shared facilities recognize an "administrative home" or "lead college" – when that is designated as COS, we work with the faculty to fulfill that role. For other facilities outside our immediate sphere (not the "lead college"), we defer to our partner colleges.

4. Is there a repository of executed agreements in your organization?

A: No, because the nature of the facilities dictates different styles of agreements (see above) – most of which have financial details or even negotiated terms included. This triggers requirements about how such documents are formulated, who needs to sign, and where they are stored.

5. Can others find and read these agreements?

A: NA – See above

6. What mechanism exists in your organization to review executed agreements?

A: Reference above. However, the most common thread is that any agreement must pass through the College gatekeepers if involving an external party, or through the ADAF and Dean if internal.

7. What challenges have you experienced implementing agreements?

A: The most difficult situations have been when new faculty hires or new shared labs are brought online without clear expectations. Responsible space, finance, and administrative personnel at suitably high levels need to be involved in the early stages

of planning. New faculty or new facilities who are started up without clear expectations can be more likely to get entrenched in unsustainable ways of operating that require a "reset" further down the road.

8. What difficulties are being experienced by those in your organization who share space and equipment?

A: The primary difficulty, in our opinion, is management and operations. Many spaces where our faculty have or use shared equipment are not assigned to COS. As noted above, we have also started working more explicitly with other units to address identified gaps in maintenance responsibility, safety protocols, and/or use. Further, the variety of facilities (former "cores", multi-PI labs, centers, institutes, other) require a wide range of approaches, there is no good one-size-fit-all agreement or management style that can encompass all shared facilities across our campuses. The circumstances dictate approach.

Many thanks to you and the committee for reaching out on this,

Sarah

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Sarah Stanton

Assistant Director for Space Planning & Safety College of Science
Northeastern University
314.824.8743

School of Law

Good afternoon Steve,

The SOL research activities are a bit unique compared to the other colleges at the university and this issue does not really touch the SOL. About the only example I can think of is that the SOL Centers – at least at one point at the beginning of COVID – had a shared conference room in their suite in the library. The SOL answers to your questions are as follow:

- 1. Are you aware of the Faculty Senate's recommendation to implement shared resource agreements? No
- 2. Are you aware whether shared resource agreements are being implemented in your organization? No
- 3. How does your organization support those assigned to work in shared space and shared facilities? NA
- 4. Is there a repository of executed agreements in your organization? NA
- 5. Can others find and read these agreements? NA
- 6. What mechanism exists in your organization to review executed agreements? NA
- 7. What challenges have you experienced implementing agreements? NA

8. What difficulties are being experienced by those in your organization who share space and equipment? NA

Best Regards,

Kerry

Kerry Gallivan
Associate Dean for Administration and Finance
Northeastern University School of Law
416 Huntington Avenue
Boston, MA 02115

Khoury College of Computer Science

Khoury College Shared Resource Agreement Questionnaire

- 1. Are you aware of the Faculty Senate's recommendation to implement shared resource agreements?
 - a. Khoury College was not previously aware of the Faculty Senate's recommendation to implement shared resource agreements.
- 2. Are you aware whether shared resource agreements are being implemented in your organization?
 - a. Khoury is not aware of shared resource agreements currently being implemented in our organization though we will work with our Faculty and Administration to ensure we are compliant with the University's recommendation.
 - b. The one caveat is the Robotics Research Cluster in ISEC where a written proposal was drafted and accepted by Northeastern SLT outlining space agreements with a few addendums over the years.
- 3. How does your organization support those assigned to work in shared space and shared facilities?
 - a. Khoury College and its faculty understand and appreciate the importance of shared labs, facilities, and equipment. Khoury supports shared space through routine upgrades, renovations, and redesigns. Warranties, end of life, service agreements, etc. also play into shared equipment decisions when it comes to purchasing, maintaining, and disposing of equipment.
- 4. Is there a repository of executed agreements in your organization?
 - a. We do not have a repository of executed agreements, however once we implement the recommended shared resource agreements, we will create a

repository (Sharepoint/Teams) to record and maintain past and present agreements.

5. Can others find and read these agreements?

a. Khoury SLT will discuss whether to make these agreements available or not. To keep arrangements and negotiations private, Khoury may decide to make signed agreements available only upon request.

6. What mechanism exists in your organization to review executed agreements?

a. Khoury does not currently execute or review agreements. Presently, shared space and shared facilities are planned for, reviewed, and approved/denied by the Khoury SLT. Shared equipment is usually an informal agreement amongst PIs, occasionally needing approval or input from the Khoury Director of IT.

7. What challenges have you experienced implementing agreements?

a. Khoury has not yet started the process of implementing shared resource agreements. Anticipated challenges will be keeping agreements up to date year over year, addendums, updating agreements to include/remove faculty, managing expectations, agreement renewals and how to deal with issues if an agreement is broken (what are the repercussions).

8. What difficulties are being experienced by those in your organization who share space and equipment?

- a. One of the most common difficulties with shared space is the charge to increase and expand research without expanding the research footprint. As our current faculty continue to expand their research efforts and as Khoury brings new faculty into the fold, we are finding it challenging to find space for their research support (PostDocs, RA's, PhD students, etc.) Khoury is now considering a hybrid approach for research-oriented personnel to scale the increase in demand.
- b. Khoury has not experienced issues with shared equipment. Pls communicate and schedule equipment use amongst themselves and Khoury has not experienced conflicts or disagreements between Pls that required intervention.

College of Professional Studies

Hi Steve and Committee Members,

Please see responses below:

1. Are you aware of the Faculty Senate's recommendation to implement shared resource agreements?

Yes, we are aware.

2. Are you aware whether shared resource agreements are being implemented in your organization?

No shared resource agreements have been implemented within CPS.

3. How does your organization support those assigned to work in shared space and shared facilities?

We do not have a large group of research active faculty, and therefore we haven't had the opportunity to support this approach.

- 4. Is there a repository of executed agreements in your organization? Not applicable.
- 5. **Can others find and read these agreements?** Not applicable.
- 6. What mechanism exists in your organization to review executed agreements? When one comes forward, it will be reviewed and forwarded by our ADR, and then reviewed and forwarded by our Associate Dean of Finance, and reviewed and approved by our Dean.
- 7. What challenges have you experienced implementing agreements? Lack of demand.
- 8. What difficulties are being experienced by those in your organization who share space and equipment?

There has been a lack of need and demand from faculty as we are a predominantly non-tenure track teaching faculty body/

Best, Liz

Elizabeth Zulick, PhD, MPH
Associate Teaching Professor
Associate Dean, Research, Innovation, Development and Entrepreneurship
Faculty Director, Healthcare and Biotechnology
Director, Lowell Institute School
College of Professional Studies
Northeastern University
Boston, MA 02115

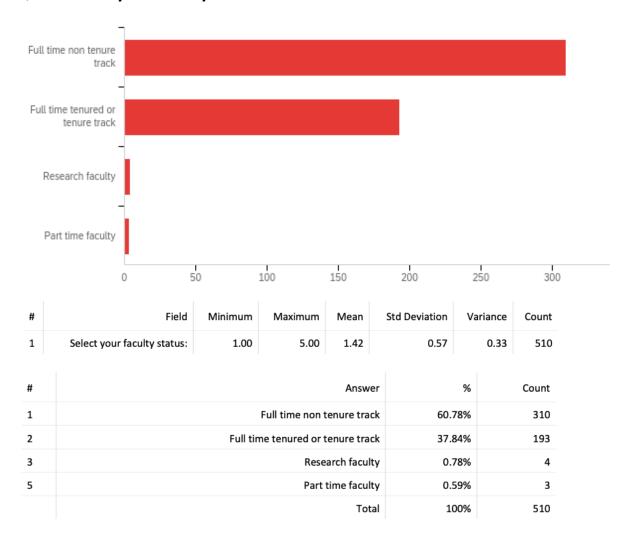
Appendix 3. Charge 1 - Faculty Senate Survey- Raw Results

Default Report

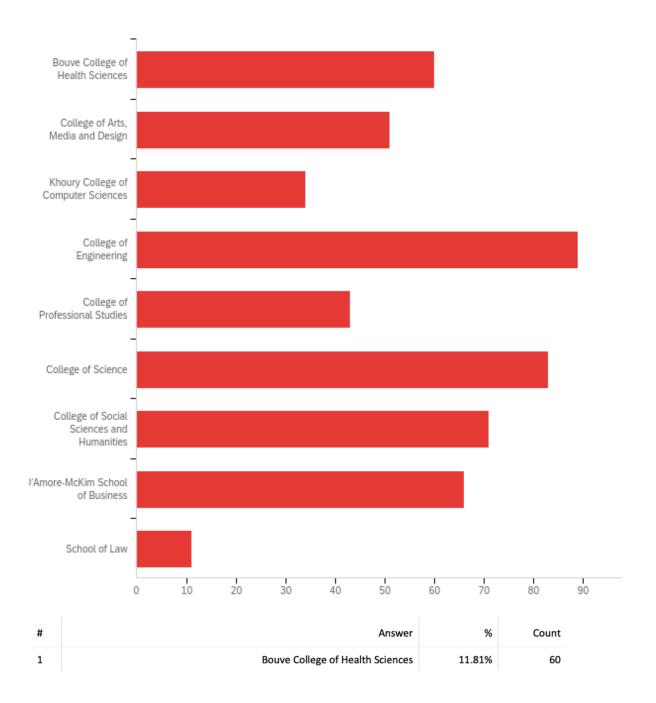
Faculty Senate Survey Fall 2021

December 7th 2021, 10:58 am EST

Q1.2 - Select your faculty status:



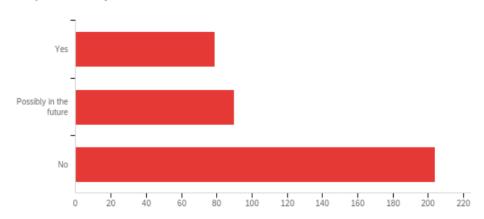
Q1.3 - What college/school is your primary faculty appointment?



2	College of Arts, Media and Design	10.04%	51
3	Khoury College of Computer Sciences	6.69%	34
4	College of Engineering	17.52%	89
5	College of Professional Studies	8.46%	43
6	College of Science	16.34%	83
7	College of Social Sciences and Humanities	13.98%	71
8	D'Amore-McKim School of Business	12.99%	66
9	School of Law	2.17%	11
	Total	100%	508

RESEARCH POLICY OVERSIGHT COMMITTEE

Q6.2 - Do you use shared space and/or equipment (that does not include fee-for-use facilities), or would you in the future?

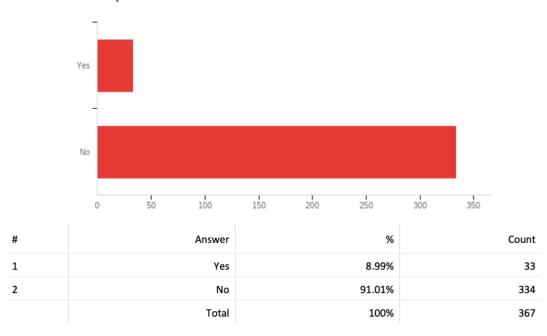


#	Answer	%	Count
1	Yes	21.18%	79
2	Possibly in the future	24.13%	90
3	No	54.69%	204
	Total	100%	373

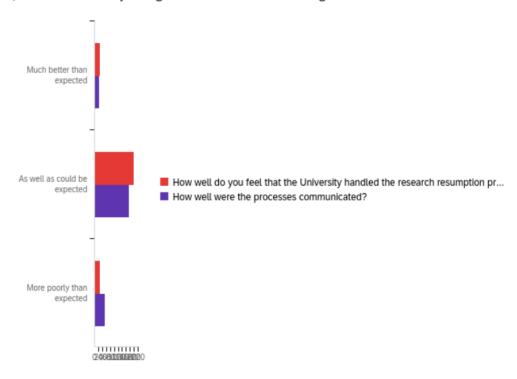
Q6.3 - Is there a charter agreement in place for any shared research spaces/equipment within which you work?

#	Answer	%	Count
1	Yes	0.00%	0
2	No	0.00%	0
	Total		0

Q6.4 - Are you aware of the Faculty Senate's Shared Charter Template? Sharedchartertemplate v20210528



Q6.6 - Please state your agreement with the following:



#	Question	Much better than expected		As well as could be expected		More poorly than expected		Total
1	How well do you feel that the University handled the research resumption process?	10.63%	27	79.13%	201	10.24%	26	254
2	How well were the processes communicated?	9.16%	23	69.72%	175	21.12%	53	251

Q6.7 - Please describe any ongoing issues that are impacting your research

Please describe any ongoing issues that are impacting your research

Delays in equipment (e.g. replacement autoclave we've been awaiting for 1.5 years). Not sure if it is COVID- related

The materials used in COVID testing are very difficult to obtain for a regular lab. I am paying more for these, or sometimes they are jut not available, regardless of money. These issues delay research. The fact that the university provides some of these materials, e.g. gloves, masks, have made a great difference. I am thankful for it. However supply chains are still strained.

we're second class citizens in satellite campuses

inconsistencies across approvals and many roadblocks to implement or start projects. However it seems more resources are being put towards this

I am non-tenure track so I do not conduct research.

no supports in CPS. Finance office makes all final decisions based solely on \$ and without any consideration of the impact

I feel that departmental and college-level provincialism I have experienced is at odds with the collaborative, boundary-free research sandbox the University is promoting. In my experience this is not a problem with individual faculty, who are mostly very open and willing to collaborate, but has to do with the time-suck of managing inter-departmental/college implementation for collaborative grants and shared instrumentation. I work in a building that is shared by research labs across the university, but there is very little sense of community. Official building management runs through a single department that necessarily puts its own members first for building use issues. There is no communal area for researchers to congregate and exchange ideas (pandemic restrictions notwithstanding).

Writing grants is time consuming. If faculty receives a grant, then faculty should receive additional compensation and/or reassign time for their research.

More difficult to collaborate with others

data analysis support.. time

Covid has impacted my research because of the greater need to care for my children and also help my parents.

I am not engaged in research.

As a satellite campus faculty, I cannot directly advise PhD students

The CAMD MSO does not seem to have a sufficient budget for basic ongoing maintenance of equipment. On several occasions when minor improvements were suggested (more akin to basic maintenance rather than upgrades) the answer was that the request could not be honored because there are no funds in the budget for it. Any purchase of new equipment should include a budget for ongoing maintenance and refinement of the offering in order to provide the affordances that the equipment was purchased to provide.

COVID has resulted in service delays on the part of survey vendors.

IRB approval timelines

IRB process was very slow and feels understaffed, especially considering the additional requirements they needed to review regarding COVID protocols. They need more staff!

It is not clear how research will be rolled out at regional campuses - especially campuses in other countries.

I'm in a humanities field, and my reasearch was not affected in the ways assumed in these questions. travel limitations

None.

covid reviews after IRB process were not handled well - it was not clear who the safety reps were, and when they were identified they were unresponsive

Using Canvas is time consuming

At this point, none!

Slow return to live performance which is where my creative work is centered. I'm about two years behind where I would have been. I am not sure, now, whether I will ever get caught up. This also applies to recording. Studios were closed for well over a year. I'm now at least two years behind with projects that had been initially scheduled during 2020. Some of these will begin to go forward in mid-December 2021. The bulk will be restarting in mid to late 2022.

Lack of an online portal for IRB documents slows down the research process. Documents should be able to be uploaded to the portal vs. emailed to one person. This would also increase transparency for where in the review process your documents are sitting.

Lack of time due to teaching load

n/a

post-award financial management is a mess. The Data Usage Agreement DUA process is out of control. Adds months to any collaboration with outside institutions. The lawyer is just spinning his wheels.

irrelevant

I am not aware of how this process was conducted. Improve ways in which info is conveyed.

Student, staff, and faculty mental health is still a challenge. People are burnt out, and there is no clear way to just get over it. There are lingering mental health challenges from the pandemic that don't just go away once things open up again.

Competition for federal \$ is just fierce. It shouldn't be that promotion of tenured faculty is 99.9% based on research grants.

N/A as I am not a faculty member who has to do research for their position

The research resumption process has improved in how quickly approvals are made; however there is still a lack of clarity in the requirements for the process and no clear benchmarks for when/how policies/procedures will change. Many of the requirements seem based on outdated information about COVID19 at this point, and appear overly cumbersome, particularly in the case that all research staff and participants are fully vaccinated.

Travel is essential for my research - that's difficult during the ongoing pandemic. Conferences have also been irregular and unpredictable.

I am dealing with a deficit in my laboratory index due to delayed contracts and grants.

student desk space is an issue -- desks need to be adjacent to labs. having student desks on the other side of campus simply doesn't work for us. it would be so great to have a chemical stockroom on campus -- it would ***greatly facilitate research, especially in these days of supply-chain-delays. generally this also keeps costs down for PIs when the university can negotiate lower bulk rates.

Not a researcher. Should have been able to choose n/a above. none N/A

A teaching burden that is twice that of tenure track faculty, plus all of the service obligations of tenure track faculty, leaves next to no time for any research. It is extremely disappointing.

I don't do research

NU should provide more resources (fellowships) for PhD students to assist research-active faculty who may experience difficulties with funding over time

As an administrator, I find this year that the pace and workload have been so extreme that research has become nearly impossible.

We were shutdown for months and have to repeat the application process many times over and teh process had no clarity, it was amateur hour at best.

the process was an absolute mess. It was very unclear how to navigate the resumption process, and it took several weeks to months to hear anything. Most people stopped waiting to be told they could resume because the process was so broken/incompetent.

I developed a repetitive stress injury from the amount of paperwork required. A lot of EHS paperwork seems like busywork, which reduces their credibility with researchers. For example, each PI was instructed/required to upload the PDF of the UNIVERSITY's safety plans to BioRaft, which by definition will be the exact same for each of the 100s of labs on campus. Not only was this a huge waste of time, it is actually not a good practice because if there are changes, all of those documents will be out of date. This is just one example of several. There should be a much greater focus on safety and safety culture, and a culture of serving the research and teaching missions of the University, than the current (seeming) culture of limit institutional liability and push it onto PIs. On the other hand, the PPE provided was super well organized and communication was pretty good.

No idea what the research resumption process was.

supplies, personnel, & I'm still waiting to have equipment added to university monitoring systems.

I don't do research.

COE administration is ineffective in settling shared space problems- promises are made, but never kept

My research does not currently rely on shared physical spaces/resources that were heavily impacted by the Covid- 19 pandemic and shift to virtual/hybrid work

CPS just got access to sponsored programs office

Inability to reliably meet with potential funding agencies.

As non-tenure track faculty, I do not have the right to be full supervisor of PhD students even though I'm a research director. And I cannot easily enroll PhD students in campuses outside of Boston because of archaic "residency" rules.

Cumbersome grant processes

R1 university with a commuter school support infrastructure, particularly NU-RES: - Multi-month setup process for advance accounts (there is no excuse for these taking longer than 24 hours) - authority must be pushed down to colleges. - Research Finance appears to only bill when forced to, and PIs have zero visibility into their actions - we have to check with our funders to see if Northeastern has billed or not. - Multi-month delays in IRB approvals for *amendments* - new protocols can take a half year.

Lack of time due to excessive teaching loads, multiple preps, additions to teaching loads at the last minute, and lack of faculty hiring to keep up with the demand for our courses (we have hundreds of graduate students admitted to our newest program and faculty are teaching literally 150 to 200 students in many courses when we plan for 80).

The mental health toll of the last two years continues to impact our students. Supporting them is taking more time than usual. This cuts into my research productivity. Also, the journals in my field are backed up because of the difficulty in finding peer reviewers, but I suspect that's a fairly common situation.

I need a lab space, but space is hard to find. I do not have access to graduate students/PhDs

NU has handled things very well

Workload and service responsibilities

I'm not doing research, but I don't recall hearing about the processes at all.

This is not relevant to me and I prefer not to answer.

IRB needs more than 2 people. The IRB staff are excellent, there is just not enough of them to review proposals in a timely way at a university of this size.

I don't understand the above questions - did research ever stop? What impacts my research - the university not hiring a single person in my field kind of hurts.

Workload adjustments have not been tailored to allow for more research and it seems to be a higher priority than clinical teaching which is frustrating being NTT.

Continued childcare constraints

Hard to get help, hard to get resources, hard to get moving on what is needed.

I don't have access to sufficient space on campus

What is the "research resumption" process? (Was this survey tested before being sent out?)

n/a, as a mathematician I have no issues performing my research anywhere

Travel is essential for my work, and border restrictions, family members with increased risk from COVID, and delayed / canceled conferences have hampered my productivity. Additionally - and this can't be underscored enough - new needs for childcare and elder care have made research significantly more difficult.

Amount of time spent on teaching. Having to complete one training module after another.

Many things are still not working well.

The prevalence of Covid in my field sites has undermined my research agenda and that will not change anytime soon. I would appreciate resources to support my retraining in a methodology that allows me to use more off-the- shelf data and reduce human subjects research in light of this.

We are still not allowed to conduct in-person research without an exception. These questions are an n/a for me.

Lack of lab space (not student seating; lab space).

There are no studios for art faculty which puts us at a severe disadvantage compared to faculty at peer institutions. I am limited to what I can build in my office or kitchen at home so creating large-scale media installations is not an option for me. Even a shared space to make and store artwork would be beneficial.

I do not conduct University lab related research.

We don't have a dedicated lab of networked computers. The business school should create one and have a lab manager. They could manage a large database of students who sign up to receive experiment opportunities for participation. This would make research much easier for experimental researchers.

Difficulty recruiting.

Lack of research support

Behrakis 6th floor needs an autoclave --ours has been broken for 1.5 years, and we keep hearing that it is coming. NA

The university does not seem to understand that humanities faculty do actually engage in research that should be supported.

I am not aware of a research resumption process. My research been on hold the past two years, given the increased workload--accommodating a number of learning modes, contending with health protocols--and issues with (lack of) childcare and home schooling for my elementary school-aged children.

too much teaching

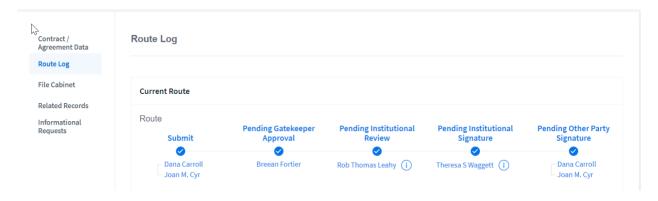
Continued bias from the university and COE against NTT faculty conducting research. Lack of support, repeatedly overlooked as potential contributors, achievements treated as being lower level than those of TT faculty by both the administration and the TT faculty themselves.

Appendix 4. Charge 3 – Preliminary Report from NU-RES

NU-RES – Research Related Agreements and Contracts

NU-RES Research Administration adopted the on-line electronic Contract Legal Agreements Workflow system (eCLAWs) in January 2020. Since then more than 2500 agreements have been processed and approved.

eCLAWs allows investigators and administrators to process all research related agreements or contracts (requiring institutional review and approval) via an on-line application, which provides real-time status updates and transparency on the issues involved in the contract negotiation process as well as location statuses (i.e., is the contract pending the other party's review).



eCLAWs also has an enabled feature for expediting contracts, e.g., contracts that must be signed by the end of the party's fiscal year, etc.

In addition to having a complete record of the review and approval process and route, eCLAWs serves as a central repository for all contracts.

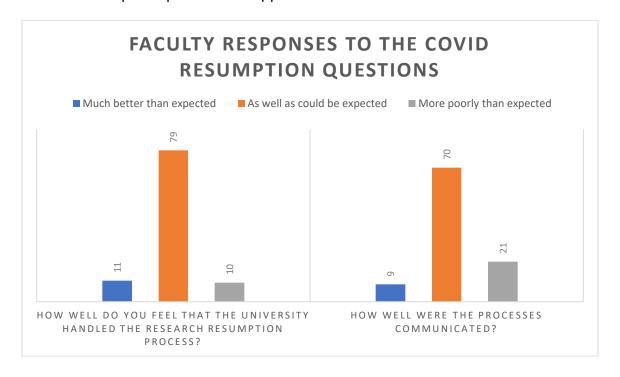
NU-RES Research Administration provides a weekly productivity report to the VPRA who shares this report with respective college Associate Deans for Research. NU-RES RA provides ADRs and college administrators with weekly tracking logs of all open transactional activities. In addition, NU-RES Research Administration prepares internal quarterly key performance indicator reports to manage operations and identify potential opportunities (e.g., streamline portfolio distribution, etc.).

In addition NU-RES Research Administration has a dedicated webpage for engaging with industry partners (https://research.northeastern.edu/nu-res/corporate-sponsored-research-agreement/) and provides the University's approved terms and conditions for non-disclosure, sponsored research and material transfer agreements.

 $\label{lem:pendix 5.} \textbf{Appendix 5.} \ \textbf{Charge 3-eCLAWs Database breakdown of time to completion for research contracts/agreements}$

	< 15				>15				
Туре	Count	Principle of the Control of the Cont	Median Days to completion	Mode	Count	Avg. Days to completion	Median Days to completion	Mode	
Data Use Agreement	8	6	7	7	95	87	60	47	
Funded Agreement - All Others	130	10	10	14	584	54	41	28	
Funded Agreement - Contract	29	9	9	9	72	60	44	21	
Funded Agreement - Industry	21	9	8	6	108	70	54	27	
Material Transfer Agreement	65	8	9	4	107	62	42	25	
Non-Disclosure Agreement - Mutual	55	8	8	7	134	62	44	22	
Ion-Disclosure Agreement - One Way	1	14	14	14	14	64	49	35	
Other Agreement - Unfunded	32	10	11	14	113	67	52	17	
ing Subaward - Department Request					24	68	59	27	
utgoing Subaward - NU-RES Initiated	301	. 5	3	1	154	59	37	28	
Sponsored Research Agreement	2	1	1	0	11	117	99	270	
Grand Total	644	7	7	0	1,416	61	44	17	
Source; eCLAWs Database									
*Completed Contracts									
Run Date; Nov 16, 2021									

Appendix 6. Charge 4 – Graphical representation of the Faculty responses to the COVID resumption questions in Appendix 4



Appendix 7. Charge 2. Excerpted email from Robin Cyr, Vice Provost for Research Administration, providing context about the relationship with the consulting firm, HRP Consulting.

"The firm that we have engaged to do a complete review/assessment of our IRB/HRPP is HRP Consulting (https://thehrpconsultinggroup.com/). When I was at UNC CH, I engaged them to do the same review that they are doing for us now and it was extremely helpful.

We had the kick off meeting in mid-December and so far they have completed the review of our Federal Wide Assurance, policies and procedures and are about half way through the interview phase of the assessment. They are in the midst of drafting an interim report now, so I can see what they have identified to date and can start addressing areas that they have identified in the early part of the review.

In my humble opinion, nothing is off the table. I have asked the consultants to advise on the need for AAHRPP accreditation, possible need for a covered entity designation from the Office of Civil Rights, as well as a review of our staffing needs, application process and system/interface needs. In addition to having the appropriate structure and systems to support our current portfolio, we need to evolve and facilitate the research our faculty aspire to do but may not be positioned for, at present.

In addition, we are very sensitive to the fact that sponsors and funders may choose to go to alternate institutions if start-up time is too long, or costs are too high, which may result in loss of faculty. Although the current IRB staff and institutional framework have supported previous research efforts, even within the last two years and the emergence of COVID, the need to be able to review FDA regulated research, and subsequent research that may be FDA regulated has shown gaps and needs for the institution to both grow and ensure compliance with existing and forthcoming complex regulatory requirements. We also must have appropriate oversight in an international setting and will need to understand the requirements of GDPR and other applicable international regulations as we more fully embrace a global research posture.

I am in regular contact with the consultants and have asked for an interim report so we can begin working with HR to create new FTEs, as I know that understaffing will be addressed in the report. In regard to systems and interfaces with research administration platforms, I do want to let them finish the review and issue the final report as I know they will make recommendations and want to include ITS in the exit interview. Since I have asked them to review Mills College next, they are hoping to wrap up our review sometime next month and then the same two consultants, will move on to the Mills review. "