



**RESPONSES TO THE INTERIM STUDY COMMITTEE’S  
FOLLOW-UP QUESTIONS on December 6, 2021**

*Provide a list of Regent authorized financial institution and state allocation estimates.*

**List of Financial Institutions**

Iowa Code requires that the Board of Regents approve financial institutions that serve as depositories of its public funds. Below are the Board-approved financial institutions, all of which have locations in Iowa.

Wells Fargo Bank	GreenState Credit Union
U.S Bank	West Bank
Bank of America	NXT Bank
Bank of the West	Bankers Trust, Des Moines
Great Western Bank	First National Bank of Ames
Dubuque Bank & Trust	Veridian Credit Union
Hills Bank & Trust	Banklwa of Cedar Rapids
Midwest One Bank	Farmers State Bank
Regions Bank	Principal Financial Group

**Uses of General University Appropriations**

The General Education Fund (GEF) at each university is primarily comprised of the General University appropriations and tuition revenue. The GEF supports the public higher education activities at each campus. Each university is comprised of several colleges that each offer many academic programs. While the percentage of these activities supported by the State has declined over time, the state support for Iowa’s public universities is imperative to maintaining a high-quality affordable education for students and reinforces their commitments to student success and missions of education, academic research, and scholarship. Listed below is a budgeted allocation of the FY 2022 General University appropriation for each university.

	<b>SUI</b>	<b>ISU</b>	<b>UNI</b>
Resident Student Financial Aid	\$52.8M	\$31M	\$16M
Academic Program Support	\$162.8M	\$128M	\$75M
General Expenses (utilities, facilities, etc)		\$13M	\$6M
Total	\$215.6	\$172M	\$98M

## ***Do federal grants come with conditions that a certain portion of IP goes back to faculty?***

The Bayh–Dole Act or Patent and Trademark Law Amendments Act (December 12, 1980) permits non-profit organizations to retain ownership of inventions made under federal grants and contracts, provided that each invention is timely disclosed and the contractor elects to retain ownership in that invention. The Act also prescribes that the non-profit organization share royalties with the inventors and that the balance of any royalties (after payment of expenses) be used for the support of scientific research or education. The best and accepted standard practice in academic institutions have these revenues shared with the inventor, her/his department and college, the central research office and the technology transfer unit.

The University of Iowa grants 25% of net revenues to the inventor, Iowa State grants inventors 1/3 of the net royalties. University of Northern Iowa grants the inventor 50% of the royalties for the first \$100K of the invention, then at 40% for >\$100K; if there are patent filing or other costs associated with the invention, those costs are recovered from the proceeds before anyone gets a distribution.

The universities' Intellectual Property policies are available at:

University of Iowa: <https://opsmanual.uiowa.edu/administrative-financial-and-facilities-policies/university-iowa-intellectual-property-policy>

Iowa State University: <https://www.policy.iastate.edu/policy/research-intellectual-property>; <http://www.techtransfer.iastate.edu/wp-content/uploads/2018/09/Royalty-Distribution-Policy.pdf>

University of Northern Iowa: <https://policies.uni.edu/1003> .

## ***Why is SUI not ranked in the list of top 100 list of universities obtaining patents and what is being done to improve? Add more information what SUI should do to get on this list.***

The University of Iowa receives many disclosures every year from our faculty and staff. As a part of our process, we evaluate each disclosure carefully with a particular eye towards the assessment of the potential value of the intellectual property and the likelihood for developing a potential licensing arrangement and/or the creation of a new venture. This assessment is done in consultation with the inventor and helps us evaluate the economic potential of the intellectual property before pursuing a patent. Because of the nature of our research and hence disclosure portfolio and the use of this assessment process, the total number of patents we pursue is lower than some of our peers, but we feel that those we do pursue have high value and commercial potential.

The activity around inventions (Patents and disclosures) is but one measure of the productivity of the research efforts of the faculty and the overall research enterprise of the institution. A key measure, and one that is critical to our continuing membership in the prestigious American Association of Universities, includes external funding, especially federally-sponsored research funding. The University of Iowa continues to increase its federally-funded research portfolio due to the efforts of our faculty and research staff. Over the last few years, federal funding to the University of Iowa has not only increased to record levels, the number of large and prestigious research awards continues to grow.

## **Who is getting support from P3?**

To date the University has committed, from the P3 UI Strategic Initiatives Fund, almost \$20 million in the following three strategic areas critical to the long-term success of the university.

- Student success initiatives
- Faculty recruitment and retention
- Growing research programs

Investments in these strategic areas will enhance net revenues to the institution, increase student retention rates and graduate a higher percentage of students within 4 years.

Below is a summary of student success projects approved.

### ***Transforming Undergraduate Introductory STEM Courses at UI: “Hawkeye Introductory Courses”***

Student success in large-enrollment introductory courses has been identified as a strong indicator of student retention and progress to degree at the University of Iowa. This proposal addresses gaps in student learning and support in these courses that will have a measurable impact on retention for first-year students. **(FY2021)**

### ***IowaRise: Transforming experiential research and education***

Student success literature has suggested that experiential learning facilitates positive outcomes on student learning, retention, and graduation rates, especially for first-general, Pell-eligible, and underrepresented minority students. This proposal seeks to unify such efforts at the University of Iowa and to better connect students with career discernment opportunities and real-world experiences that prepare them for diverse workplaces. **(FY2021)**

### ***A Campus-Wide Learning@Iowa Framework to Increase Students’ Academic Success***

Most students starting college have not received guidance on how to learn for success in collegiate settings. This program will develop and implement the Learning@Iowa framework to transform the culture of learning throughout campus, spanning a variety of academic courses, residence hall settings, academic advising sessions, and more. The project uses empirically proven learning methods from cognitive science that have been demonstrated to have positive effects on student learning and progress toward degree. **(FY2022)**

### ***Examining and Tailoring Academic Policies to Enhance Undergraduate Student Success and Equity***

This project examines the impact of academic probation and course placement at the UI, with a goal of tailoring policies and practices to promote overall student success and to foster equity in student outcomes. Team members will collaborate with key campus stakeholders to implement changes at the collegiate level. The project is expected to positively impact undergraduate student retention and graduation rates. **(FY2022)**

### ***Closing the Gap: Experiential Educational for All Undergraduates at Iowa***

Experiential education provides students with opportunities to apply learning to real-world contexts, while also fostering career preparation and improving job placement rates. This project seeks to close gaps in student participation by assessing the landscape of experiential education and barriers to student participation. The project also will create a course tailored for all second-year students that will provide an experiential education component and engage students in career exploration. **(FY2022)**

See Attachment 1 for a list of all projects funded in FY2021 and FY2022.

*Are there more/less awarding of tenure vs 10 years ago?*

The table below shows the decline in the awarding of tenure at the Regent Universities.

**Iowa Regent Universities Total Tenured Faculty  
2011-12 to 2020-21**

<b>Acad Year</b>	<b>Total Tenured Faculty</b>	<b>% of All Full-time Faculty</b>
2011-12	2,722	49%
2012-13	2,730	48%
2013-14	2,705	47%
2014-15	2,681	46%
2015-16	2,645	45%
2016-17	2,590	43%
2017-18	2,560	43%
2018-19	2,548	42%
2019-20	2,495	41%
2020-21	2,482	43%



### **P3 Proposals Funded for FY 2021 ("Year 0")**

In FY 2021 ("Year 0"), the University of Iowa is distributing the first \$7.5 million of the investment revenue generated from the public-private partnership (P3) for its utility system.

For Year 0, requests were restricted to one-time (non-recurring) funds and for projects with an expected duration of approximately one year.

#### **UI P3 to NCI/NIDCR P50: Multidisciplinary approach to oral cancer etiology and treatment**

This proposal positions the University of Iowa to successfully compete for NCI/NIDCR (National Cancer Institute/National Institute of Dental and Craniofacial Research) funding that totals \$11M. It aligns with key components of the UI's strategic priorities, including federal funding for multidisciplinary and high-impact research, and it positions the university to become a national leader regarding oral cancer etiology and treatment. **Funded amount: \$600,000**

#### **Jumpstarting Tomorrow: A collaborative research pilot program for interdisciplinary research communities**

Interdisciplinary research is a key component of the University of Iowa's strategic priorities and will become increasingly central to the university's continued progress towards excellence in research and scholarship. This proposal leverages faculty expertise to foster innovation across disciplines, and provides enhanced support to increase federal funding and engagement with a range of stakeholders, in the form of seed grants, that will expand institutional impact on state and global landscapes. **Funded amount: \$2M**

#### **High Impact Hiring Initiative: Support, retain, and recruit faculty to strategically enhance priority areas of excellence**

The University of Iowa's ability to strengthen collegiate support structures to enhance faculty success is critical to facilitating progress across all strategic components and metrics. Improving the retention of faculty, particularly in programs of academic excellence, not only presents cost-savings associated with faculty turnover, but also better positions the UI as a "Destination University" that attracts a diverse and talented faculty pool. **Funded amount: \$4.25M**

#### **Transforming Undergraduate Introductory STEM Courses at UI: "Hawkeye Introductory Courses"**

Student success in large-enrollment introductory courses has been identified as a strong indicator of student retention and progress to degree at the University of Iowa. This proposal addresses gaps in student learning and support in these courses that will have a measurable impact on retention for first-year students. **Funded amount: \$300,000**

#### **IowaRise: Transforming experiential research and education**

Student success literature has suggested that experiential learning facilitates positive outcomes on student learning, retention, and graduation rates, especially for first-general, Pell-eligible, and underrepresented minority students. This proposal seeks to unify such efforts at the University of Iowa and to better connect students with career discernment opportunities and real-world experiences that prepare them for diverse workplaces. **Funded amount: \$350,000**

## **P3 Proposals Funded for FY 2022 (Year 1)**

In FY22 (Year 1), the University of Iowa is distributing \$12.1 million in P3 funding to seven projects.

The approved projects were selected through a two-stage process that involved a call for a letter of intent (LOI), followed by an invitation to select projects to submit full proposals. The UI Strategy Team (ST) received 45 LOIs and invited 10 projects to submit full proposals. Seven projects were recommended to Interim President Keller, who approved all seven to be put forward to the P3 Board. The P3 Board approved the following projects at their June 1 meeting:

### **Extending Iowa's Success in Space-Based Research Across Campus**

Building on the UI's success in space-based research, this project will draw on the expertise of faculty across multiple departments to create an interdisciplinary research enterprise, and will strengthen the institution's ability to successfully compete for NASA funding for space missions and instruments. The project includes a space instrumentation summer program that will position the UI as the destination of choice for students interested in space research. **Funded amount: \$3.6M over three years.**

### **A Campus-Wide Learning@Iowa Framework to Increase Students' Academic Success**

Most students starting college have not received guidance on how to learn for success in collegiate settings. This program will develop and implement the Learning@Iowa framework to transform the culture of learning throughout campus, spanning a variety of academic courses, residence hall settings, academic advising sessions, and more. The project uses empirically proven learning methods from cognitive science that have been demonstrated to have positive effects on student learning and progress toward degree. **Funded amount: \$900,000 over three years.**

### **The Iowa Health Data Resource: Building the Future of Health Informatics at the University of Iowa**

Analyzing patient data plays a central and critical role in advancing research across the broad spectrum of healthcare. This project will improve how the UI research community accesses and utilizes health science data by establishing the Iowa Health Data Resource (IHDR) on which future health informatics research initiatives can be built. This will position the UI as a national competitor for building interdisciplinary programs for next-generation research, curriculum, and student-engaged research development. **Funded amount: \$2.2M over three years.**

### **Examining and Tailoring Academic Policies to Enhance Undergraduate Student Success and Equity**

This project examines the impact of academic probation and course placement at the UI, with a goal of tailoring policies and practices to promote overall student success and to foster equity in student outcomes. Team members will collaborate with key campus stakeholders to implement changes at the collegiate level. The project is expected to positively impact undergraduate student retention and graduation rates. **Funded amount: \$114,000 over two years.**

### **Closing the Gap: Experiential Educational for All Undergraduates at Iowa**

Experiential education provides students with opportunities to apply learning to real-world contexts, while also fostering career preparation and improving job placement rates. This project seeks to close gaps in student participation by assessing the landscape of experiential education and barriers to student participation. The project also will create a course tailored for all second-year students that will provide an experiential education component and engage students in career exploration. **Funded amount: \$540,000 over two years.**

### **Seeding Excellence: Strengthening the University as a Destination for Research and Scholarship**

This program aims to sustain growth of the research enterprise by providing competitive pilot funding in areas across campus that will strategically advance institutional priorities. By providing unique opportunities for faculty collaboration and support, the project should contribute to successful recruitment and retention of faculty in areas of distinction. Funding allocation will span interdisciplinary research grants; early career faculty research support; community-engaged scholarship funding; and diversity, equity, and inclusion funds to supplement research opportunities for students from historically underfunded groups. **Funded amount: \$4.0M over two years.**

### **Equity in Health Science and Practice**

This project will engage faculty, staff, students, and community partners in the conduct of rigorous health equity research and the translation of research findings into community-based interventions. Expected outcomes include published interventional approaches for advancing health equity in the state of Iowa, including on-campus and community-based infrastructure for future pandemic-related and non-pandemic-related health equity research. **Funded amount: \$759,000 over three years.**