Faculty Council on Research
Thursday, May 1, 2008
Room 26 Gerberding

Faculty:
Cathryn Booth-LaForce, Nursing – Chair
Jerry Finrow, Architecture
David Fluharty, Marine Affairs
Mark Haselkorn, Technical Communication
Sanjeev Khagram, Evans School of Public Affairs
Gerald Miller, Physics
Axel Roesler, Art
Ilene Schwartz, Special Education
Ronald Stenkamp, Biological Structure
Daniel Vogt, Forest Resources
Richard Wright, Linguistics

Ex Officio:
Karen Russell, PSO Representative
Theresa Barker, GPSS Representative
Poonam Nathu, ASUW Representative
David Foster, UWRA Representative
Mary Lidstrom, Vice Provost for Research
James Harrington, Faculty Legislative Rep.
Susanne Redalje, ALUW Representative

Meeting Synopsis:

1. Call to Order and Approval of Agenda
2. Approve minutes from 2 April 2008 FCR meeting
3. Announcements
4. Requests for Information and Updates
   • Office of Research (Mary Lidstrom, Vice Provost for Research, Office of Research)
5. Discussion
   • Classified, Proprietary, and Restricted research (Gerald Miller)
   • Open access publishing (Charles Wilkinson, Chair, Faculty Council on University Libraries)
6. Old Business
   • Royalty Research Fund Review Committee (Mary Lidstrom, Vice Provost for Research, Office of Research)
   • CPR Conflict of Interest Policy (Mark Haselkorn)
7. New Business
8. Adjournment

1. Call to order and approval of agenda
Cathryn Booth-LaForce opened the meeting at 9:03 AM by asking for the approval of the agenda. The agenda was approved as written.
2. Approval of minutes from the 2 April 2008 FCR meeting

The minutes of the April meeting were approved as written.

3. Announcements

Mary Lidstrom announced that we have two professors who have been elected to membership in the National Academy of Sciences (NAS) for their excellence in original scientific research. They are Elizabeth Thompson, professor of statistics; and Michael Bevan, professor of immunology and Howard Hughes Medical Institute investigator.

4. Requests for Information and Updates

- Office of Research (Mary Lidstrom, Vice Provost for Research)

Mary was asked what she knew about the College of the Environment. She told Council members that they might want to invite Provost Wise give them an update. She came to the Research Advisory Board meeting about a month ago and gave Board members an update. There is currently ongoing discussion of which units wish to be included and which do not. The Board of Regents will be given an update at their June meeting.

Mary also was asked if she had any insight on the Data Net Proposal. Mary referred the inquiry to Lynne Chronister, Director of the Office of Sponsored Programs. The NSF Data Net Program was very well received and NSF seemed enthusiastic. The Data Net Program is an eScience data project, with significant infrastructure and worth $20M. Lizabeth (Betsy) Wilson, Dean of the Libraries, is PI for this project. This project involves many different areas such as iSchool, Computer Science, the Visualization Center, etc. This program is set up very much like an NIH program. The UW has a very high chance of receiving it.

5. Discussion

- Classified, Proprietary, and Restricted research (Gerald Miller)

The Subcommittee, consisting of Gerald Miller, Mark Haselkorn, and Ronald Stenkamp, met on April 28, 2008 with Robert Miyamoto and Gail Gilliland from APL-UW and discussed a proposed contract from the Naval Post Graduate School (NPS) to Research Anti-Submarine Warfare Meteorology and Oceanography Metrics Data Collection and Analysis.

Gerald Miller explained to the Council members that the subcontract was for only a year and was a classified subcontract from the Naval Post Graduate School (NPS). The purpose is to: (1) collect and analyze data to determine the quantitative impacts of METOC information on the planning of ASW operations; (2) Identify the types of data and analysis methods needed to quantitatively assess the value of METOC information on ASW; and, (3) design systems for routinely collecting and analyzing data to continually assess the value of METOC and (4) report the results of research.
The APL-UW’s strengths are that Dr. Robert Miyamoto has been observing and analyzing acoustic sensor data (under the NAVSEA contract that is already approved by the FCR) that has identified fundamental problems in the training, employment, and design of some of these acoustic sensor systems.

The reason for a classified contract is that some of the data to be analyzed involves classified information related to positions of submarines.

Gerald Miller said that the CPR committee unanimously (Daniel Vogt was not present, since he is on Sabbatical) agreed to recommend that FCR approve UW-APL’s request to submit this proposal. This was determined by answering the six FCR questions that deal with classified, proprietary and restricted research.

1. **What unique capabilities does your program and the UW bring to this proposed project?**

   Applied Physics Laboratory’s (APL) idea is a statistical approach to the tasks that it takes to successfully use acoustic sensor systems. This approach evaluates a system’s overall probability of success given its state of readiness, training, and operation.

2. **Describe the scholarly, scientific, and/or educational benefits of this proposed project?**

   The statistical evaluation of acoustic systems is still in its infancy in spite of years of operation by the US Navy. Comparing results of a predictive model, such as an acoustic model, that can quantify the sensitivity of an acoustic system to environmental conditions is difficult using measured data. The algorithms developed in this project will be beneficial when applied to other systems and models. This proposed project has very substantial scholarly, scientific and educational benefits.

3. **In what ways does the proposed project provide a public or community service?**

   The security of the nation still resides in the hands of our command of the seas. This project will help identify how secure we are in ensuring that our security forces can do necessary tasks while minimizing the risks to ships and human life. Furthermore, the project aims to ensure that the naval systems we acquire and use are properly assigned and used, thus saving taxpayer dollars.

4. **In what ways, if any, will UW students (graduate and undergraduate) be involved in the project: If they participate in the research, will they require security clearance or have restrictions place on their thesis, dissertation, or other academic activities?**

   There will be no student involvement.

5. **Does the proposed project pose any restrictions on publications by the PI, members of the research team, students or postdoctoral fellows?**
Results from this study are not to be published, only provided as part of a team report from the NPS.

6. Are there any ‘foreign nationals’ working on this project?

No foreign nationals will be employed in this project.

Gerald Miller moved that FCR approve UW-APL’s request to participate in the subcontract from the NPS to research Anti-Submarine Warfare Meteorology and Oceanography Metrics Data Collection and Analysis.

**ACTION: Approved Unanimously**

Gerald Miller presented another proposed subcontract between APL-UW and ONR. The CPRR committee members who were present on April 28, 2008 unanimously agreed to recommend that FCR approve the APL-UW’s request for a classified purchase. The PI is Robert T. Miyamoto, Associate Director, APL. The funding is $23K for a three-day meeting in August 2008. Gerald Miller reminded Council members that they had approved the same thing last year and that meeting was so successful that they wanted to repeat it.

The goal of having another meeting is to organize and manage a classified meeting of researchers to peer review and disseminate research being conducted under ONR’s Joint Active-Passive Sonar Program. The strengths of the APL-UW is that they organized such a classified peer review in the past, the most recent in August 2007. APL-UW has the security infrastructure necessary to handle the classified nature of a subset of the presentations.

Some of the presentations will be classified due to the use of classified data to test the efficacy of the developed algorithms in anti-submarine and anti-torpedo applications.

The purpose of the meeting is to allow a broad range of researchers, many from other universities, to come together and discuss new advances in signal processing algorithms for sonar applications. Again, the same six FCR questions that deal with classified, proprietary and restricted research were asked.

1. What unique capabilities does your program and the UW bring to this proposed project?

Applied Physics Laboratory’s (APL) has unique capabilities and experience in organizing these meetings, along with the necessary security infrastructure.

2. Describe the scholarly, scientific, and/or educational benefits of this proposed project?

New advances in signal processing would be discussed. The review undertaken at the meeting encompasses the “Discovery and Invention” portion of the research funded by ONR and hence covers primarily basic research results. The meeting provides very substantial scholarly, scientific and educational benefits.
3. In what ways does the proposed project provide a public or community service?

Such peer reviews are critical for advancing ONR’s mission of providing the best possible technology in support of the nation’s defense.

4. In what ways, if any, will UW students (graduate and undergraduate) be involved in the project: If they participate in the research, will they require security clearance or have restrictions placed on their thesis, dissertation, or other academic activities?

No student involvement is planned.

5. Does the proposed project pose any restrictions on publications by the PI, members of the research team, students or postdoctoral fellows?

No research results will be generated per se under this project.

6. Are there any ‘foreign nationals’ working on this project?

No foreign nationals will be employed in this project.

Gerald Miller moved that FCR approve UW-APL’s request to approved APL-UW’s request for a classified proposal for a three day meeting in August, 2008.

ACTION: Approved Unanimously

Gerald Miller will send a summary of both classified approvals to Cathryn and she will forward the approvals to Lynne Chronister, Director of the Office of Sponsored Programs, and Gerry Philipsen, Secretary of the Faculty, as mandated.

- Open Access publishing (Charles Wilkinson, Chair, Faculty Council on University Libraries).

Charles Wilkinson handed out some resource material on Scholarly Communication/Open Access/ and Author Rights. The primary mission of the University of Washington is the advancement, dissemination, and preservation of knowledge. Members of the University community make the world a better place by seeking and discovering timely solutions to the world’s most complex problems, while recognizing and meeting its special obligations as a public university to improve the lives of Washingtonians through knowledge and discovery. One of the primary ways in which the University fulfills its mission is through scholarly journals, as well as other channels. Access for its researchers to a wide range of scholarly and research literature is fundamental to the success of the research enterprise at the University. It is important for researchers to have the ability to share research findings with other scholars worldwide who could use them to speed the process of discovery. However, such access is increasingly at risk because of the market power of a few large commercial publishers and their journal pricing policies, which force libraries to divert funds from the purchase of the scholarly monographs that are fundamental to scholarly exchange in many disciplines.
In the last couple of years, the movement toward “open access” to research results and other scholarly materials has emerged, which shows great promise for helping to foster communication with the research community and the ability to disseminate research results to the public, as well as to help control the negative impact of market force. DSpace at the University is an archive space of research works at the UW. SPARC, Scholarly Publishing and Academic Resources Coalition and Science Commons, helps to open doors and open minds on what faculty can do to ensure open access to their work through their institutions.

The costs of journals have been increasing at the rate of 8-10% per year, and are five times higher for commercial publishers than non-profit publishers. Next year the increase cost to the University could be about $750,000. Infusion of funds promised by the Provost’s Office will help to off-set the cost increase.

Some publishers force libraries to subscribe to a whole package of journals in order just to get the ones that they really want. There are a lot of problems with the current system of scholarly communication. Libraries are forced to spend more of their budgets on periodicals and can then purchase fewer books, resulting in a smaller market for university presses and other academic monograph publishers. The reduced size of the market results in higher prices and further reduces libraries’ abilities to buy books. This university has far greater variety of journals than many others.

Publishers are responding to the pressure for open access in different ways. Some journals charge authors an extra fee to make articles publicly accessible immediately. Some publishers allow authors to deposit articles in institutional repositories that are publicly accessible, but every publisher has different standards. Publishers generally ask for a blanket transfer of copyright, but if strictly interpreted, these agreements might prevent faculty members from using their own published material in the classroom or in future publications. Authors may need to add an addendum to copyright agreements in order to secure their rights.

Many universities have passed resolutions advocating open access. Harvard has a “mandatory” program for deposit of faculty publications in a freely accessible institutional repository, but individuals can opt out. Some professional societies and NIH have a 12-month embargo after which time articles are publicly accessible. Some journals are going to a 6-month embargo. All reports of research funded by NIH now have to be submitted to PubMed. Faculty won’t want to submit to PubMed and to an institutional repository unless it can be done simultaneously. Charles Wilkinson will work with Mark Haselkorn to come up with a draft of a resolution regarding free dissemination.

6. Old Business

- Royalty Research Fund (RRF) (Mary Lidstrom, Vice Provost for Research)

Mary sent Cathryn a draft organizing a comprehensive review of the Royalty Research Fund seed grant program. An ad hoc committee (the RRF Review Committee) will carry out this review, with the following charge:
1. **Oversee a review** – The Office of Research will provide staff time to gather information from past RRF recipients and gather statistics regarding applications and awards. The RRF Review Committee will review this information and add comments.

2. **Review the mission and goal of the RRF seed grant program.** Specific issues should include current emphasis on junior faculty, lack of emphasis on interdisciplinary research, and open access policy that allows all PIs on campus to be eligible.

3. **Review rules for funding.** Areas assessed should include the restrictions on PI salary and restrictions on the RRF Scholars Program.

4. **Review the current process for reviewing RRF proposals.** Areas assessed should include the number of reviewers, the strictly internal nature of the reviews, the instruction to reviewers, the criteria used to judge the proposals and the feedback given to non-funded applicants. Mary anticipates the committee should interview some key stakeholders with regard to their perspective on the RRF seed fund program, including Alvin Kwiram, members of the current and past review committees and a set of department chairs. A couple of names came up as possible chairs for this committee. The review committee should include junior faculty (possibly Axel Roesler from FCR), another possible FCR person like Daniel Vogt, and others from several different areas, possibly a junior and senior faculty member who have been denied (probably about 8 people altogether).

Mary anticipates a timeline of possibly having a meeting sometime in May with stakeholders for their thoughts. Data acquisition should be completed by the Office of Research by September. During the month of October, the ad hoc committee should meet a few times. Then by December, the committee can write and finish their report.

The Faculty Council on Research will make final recommendations, which will be considered by the Research Advisory Board and if appropriate, the Board of Deans and the Faculty Senate.

Mary will be making some changes to number 4 above and will come back with a new draft at the next meeting.

- **CPR Conflict of Interest Policy (Mark Haselkorn)**

Mark Haselkorn distributed a draft CPR Conflict of Interest policy for review by the Council. A number of Council members suggested helpful changes. Mark will make these changes and submit the edited draft policy for a vote at the next meeting in June.

### 7. New Business

Barbara Perry was asked if she had anything to report on the legislative side. Barbara Perry indicated there was nothing to report beyond what was in the Federal Report that was emailed out. It is also likely that most of our issues would not be addressed by the Congress in the 50 or so legislative days remaining in the last session of the 110th Congress. The only current action is on the War Supplemental Bill and there is a full court press going on by the science community trying to increase funding for NSF and DOE within the supplemental budget, but Congress and the President are at odds on
whether any domestic spending should be included in this emergency bill. The President has threatened to veto a bill with non military spending.

One Council member inquired about the status of the Service Science study. Barbara said she would check on it.

8. Adjournment

Meeting adjourned at 10:15 AM. Minutes by Peggy Fanning.

Present: Faculty members: Booth-LaForce, Fluharty, Haselkorn, Miller, Roesler and Stenkamp

President’s designee: Lidstrom

Other ex officio members: Redalje

Absent: Faculty members: Finrow, Khagram, Schwartz, Vogt (sabbatical), and Wright (sabbatical)

Ex-officio members: Allen, Barker, Foster, Harrington, Nathu and Russell

Guests: Lynne Chronister, Peggy Fanning, Barbara Perry and Charles Wilkinson