University of Washington  
Faculty Council on Research  
Thursday, June 5, 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 1 May 2008 FCR meeting
3. Announcements
4. Requests for Information and Updates
   - Office of Research (Dave Eaton, Associate Vice Provost for Research, Office of Research)
   - Inclusion of separation leave in the benefit load rate (Michael Anthony, Executive Director, Management Accounting and Analysis)
5. Discussion
   - Classified, Proprietary, and Restricted research (Jeffrey Simmen, Director, APL; Gerald Miller)
6. Old Business
   - 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 1 May 2008 FCR meeting

The minutes of the May meeting were approved as written.

3. Announcements

Cathryn Booth-LaForce had a few announcements to make. Since this was the last meeting of the academic year, she wanted to thank all the Council members and Ex-Officio members for their time and service on the council. Cathryn also wanted to thank Peggy Fanning for her service in taking the minutes over the past year.

Cathryn acknowledged that this was her last year along with David Fluharty, Mark Haselkorn and Richard Wright. However, David Fluharty, Mark Haselkorn and Richard Wright have been approved by the Faculty Senate to extend their service for an additional term.

Cathryn informed the Council members that the letter that was sent to Provost Wise asking for additional funding for the Office of Sponsored Programs and Grant and Contract Accounting was helpful in getting approval for increased funding.

4. Requests for Information and Updates

- Office of Research (David Eaton, Associate Vice Provost for Research)

David Eaton didn’t have any updates for the Council members.

- Inclusion of separation leave in the benefit load rate (Michael Anthony, Executive Director, Management Accounting and Analysis)

Michael Anthony, Executive Director, Management Accounting and Analysis, came to update the Council members on the initiative to include separation leave payments for classified and professional staff in the University’s fringe benefit load rate.

Background:
Budgets, especially fixed dollar budgets like research grants, can be heavily impacted when someone departs or retires who has a number of years of employment at the University. That is, this can cause a significant financial impact on budgets if they have to pay large accumulated annual leave balances. In an effort to address this, an assessment was needed to determine the feasibility of prospectively changing the process for charging separation leave payments and determining the mechanism to accomplish this. The anticipated preferred method was the inclusion of these costs in UW’s fringe benefit load rate.

Process:
An Oversight Organization consists of an advisory team: Mary Lidstrom, John Slattery, Arthur Nowell, Richard Karpen, and Sue Camber. The Executive Sponsors: V’Ella Warren and Gary Quarfoth. Michael Anthony handed out some power-point slides and on the second page it shows the breakdown of the oversight organizational chart. There
are stakeholders, three sub-teams, a core working team, project advisory resources and university-wide communication.

They faced several challenges:

- Financial impact on central budget for sick leave buyout (at separation)
- Impact on other operations (i.e., self-sustaining budgets, medical center, APL and summer extension)
- Security of funds in accrual accounts (i.e., state sweeping dollars)
- Communication to campus

The process consisted of a secured conceptual approval to proceed from Executive Sponsor and Sponsors and the Provost. The Advisory Team and Core Working Teams were formed and through the Core Working Team three sub-teams were formed. The sub-teams performed necessary analyses, inquiries etc. and brought them to the Core Working Team with a recommendation. The Core Working Team performed assessments of the recommendations and presented them to the Advisory Team.

**Outcome:**
The results showed an impact on the benefit load rate of \( \sim .7\% \). The impact on funds other than central UW funds was reasonable (i.e., additional benefit load cost reasonably offset by reduction in separation leave salary charges). While the overall impact on GOF/DOF funds was also reasonable, the impact on the centrally funded GOF/DOF funds would be greater than $1 million of additional expense given GOF/DOF fringe benefits are paid centrally (the individual units would realize the offsetting savings in separation leave salary charges). At this time the UW is unable to fund this since this represents a lower priority relative to other critical FY 2008-09 institutional priorities. The final decision was to defer this project for now.

**Our next steps:**
Convene an appropriate group of University representatives to determine if and how we proceed.

Cathryn Booth-LaForce asked Michael how can the Faculty Council on Research help? Michael responded just continue to be supportive. Provost Wise is very supportive, however the funds just aren’t there to cover the cost to the central UW funds at this time. We will need to look at other options.

5. **Discussion**

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

Before the discussion on the approval of the NAVSEA (Navy) classified contract, Jeffrey Simmen, Director of the Applied Physics Laboratory (APL) gave an overview of the Laboratory. APL Associate Directors, William Bakamis and Robert Miyamoto, also attended and were prepared to answer specific questions regarding the Navy classified contract. Director Simmen distributed the 2007 APL Biennial Report to council members along with the Proposal to Naval Sea Systems Command (NAVSEA), a proposed ten-year contract with the Navy.
APL-UW was founded in 1943 at the request of the Navy to bring university resources to bear on several WWII defense problems. Initially APL-UW focused on anti-submarine warfare, emphasizing acoustics research and oceanographic studies to understand how variations in the ocean environment affected the performance of Navy systems.

Some of the basic and applied research programs at APL-UW today are across six theme areas:

- Acoustic and remote sensing
- Ocean physics & engineering
- Medical & industrial ultrasound
- Polar science
- Environmental & information systems
- Electronic & photonic systems

Director Simmen spent the majority of his time addressing some of the specific efforts within each of these research areas, including work in seafloor acoustics, ocean instrumentation development, high-intensity focused ultrasound, arctic climate, applied oceanography and meteorology, and work related to sonar. APL-UW collaborates with other UW departments or units within the College of Arts & Sciences, College of Engineering, School of Medicine, and College of Ocean & Fishery Sciences. APL-UW is actually a unit of the College of Ocean & Fishery Sciences.

APL-UW has a very strong focus in field experimentation. Each year APL-UW undertakes numerous field experiments in the oceans around the world. These field efforts can be experiments for basic research or efforts that are more applied and operational.

APL-UW has a special partnership with the US Navy as one of four Navy University Affiliated Research Centers (UARCs). They maintain expertise in areas of Navy relevance, such as underwater acoustics and oceanography, and are therefore capable of quickly responding to Navy needs in these areas. About 60% of the research monies for APL-UW (in FFY07) came from the US Navy. The other 40% came from Federal agencies such as NSF, NASA, NIH, NOAA, Army, Air Force and DARPA. (NSF is APL’s second largest single sponsor, and 22% of all FFY07 APL funding came from NSF). APL-UW’s federal research funding has grown on average by 15% over the past three years and has gone from funding level of about $30 million to almost $60 million (FFY07) in a six-year period.

APL-UW funding has averaged about two-thirds towards basic research and about one-third for applied research and development, though there have been small fluctuations in this ratio from year to year. Federal agencies are encouraging more multi-institutional and multi-disciplinary initiatives, and so APL-UW expects to engage in further collaboration with other UARCs, academic units at UW, with other academic institutions and industry.

Director Simmen also noted that APL-UW is very entrepreneurial and has played a role in the development of several local companies, focused on ocean instrumentation or ultrasound, including since 2000:

- Allez Physionix
William Bakamis and Jeffrey Simmen also clarified that the amount of R&D research that is classified these days is only about 10-20%. In FFY07 about 16% of all APL work was classified.

Before the vote, Mark Haselkorn clarified that a positive vote meant that for the life of the 10-year agreement with NAVSEA, any classified or restricted research done under this agreement would be pre-approved and not need to be reviewed by our Classified or Restricted Research Subcommittee. The previous agreement with NAVSEA was for five years with an extension of two more years.

**Subject**: Request for FCR approval of a the pursuit of a follow-on classified contract from the Naval Sea Systems Command (NAVSEA)

**Contract**: from NPS to APL-UW for a ten year classified contract.

**PI**: Jeffrey Simmen, Director UW-APL

**Funding**: up to $258 million over ten years.

**Goal**: The current and proposed NAVSEA provides a means for the US Navy to fund APL-directly in seven areas:

1) Experimental Oceanography  
2) Acoustic Propagation  
3) Underwater Instrumentation and Equipment  
4) Marine Corrosion  
5) Acoustic and Related Systems  
6) Simulations and Signal Processing Techniques  
7) Mission Related and Public Service Quick Response Research Development

**Purpose**: The U. S. Navy and other government entities can directly fund APL-UW in any of these core areas to quickly solve a national research need. When a need is identified, a Task Description form is created with specific tasking, budget, and deliverables identified. Any federal security requirements are outlined through a DD 254 form. Typically, in any one year, APL-UW has about 16 task orders and about 10 have DD 254 forms attached.

**APL-UW's strengths**: Technical expertise in all seven of the listed area.

**Reason for Classified Contract**: Some of the data to be analyzed involves classified information such as sources of data and positions of submarines.
Gerald Miller said that the CPR committee unanimously agreed to recommend that FCR approve UW-APL’s request to submit this proposal (Daniel Vogt was not present, since he is on Sabbatical). This approval 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?**

**Unique University Capabilities**

The list of core expertise areas provides the unique capabilities that APL-UW and the UW bring to the U.S. Navy. APL-UW has developed its capabilities over the past 65 years, working with faculty and students of the UW. Currently, 42 of APL-UW’s professional staff have some form of joint appointments and are represented in the following campus departments: Bioengineering, Civil Engineering, Earth and Space Sciences, Electrical Engineering, Mechanical Engineering, Neurological Surgery, Oceanography, Pediatric Dentistry, and Statistics. The NAVSEA contract represents the transition of those university capabilities to the U. S. Navy and the federal government.

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

**Has very substantial scholarly, scientific or educational benefits**

This proposed project will provide funding for scientific research in applied areas of expertise residing at APL-UW and the UW. Additional knowledge will be discovered and students may be involved in some of the research. Adhering to the guidelines for publication of research under this contract, a number of APL-UW students have graduated with advanced degrees while working on tasking under the current NAVSEA contract and APL-UW expects this to continue under the proposed agreement. Most of the research and development conducted by the student is relevant to unclassified research and/or development allowing us to develop other research or engineering programs for non-Department of Defense sponsors such as the National Science Foundation (especially in oceanography), NASA, National Ocean and Atmospheric Administration (NOAA), Washington Sea Grant, and National Institutes of Health. This contract also will allow APL-UW to collect a contract fee. This fee has been used and will be used to fund: 1) internal research and development projects on which students work; 2) undergraduate and graduate fellowships; or 3) to support APL-UW researchers (without tenure) to teach classes at UW.

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

**Constitutes a very substantial public service**

For over 65 years the University of Washington and the U. S. Navy have worked together to solve problems of national importance. This capability to solve problems quickly with the necessary APL-UW and UW expertise is the core of the NAVSEA contract. Although APL-UW continues to support the U. S. Navy in traditional areas that permit freedom of the seas, APL-UW finds itself diversifying into new areas aimed at understanding global climate change, reducing battlefield casualties, treating cancers
and other soft tissue injuries, countering Improvised Explosive Devices (counter-IEDs), providing sensors for homeland defense, and other areas.

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?

No Student involvement.

The NAVSEA contract sometimes offers the opportunity to fund graduate and undergraduate research. The U. S. Navy has a responsibility for education of the next generation of scientists and engineers, and has specific programs in place to develop and train young scientists and engineers. In place is a process that is approved by naval, industrial and UW security that allows for the publication of research in the open literature. APL-UW is very careful to ensure that a UW student’s thesis work is not involved in classified research (usually by avoiding specific data sets and/or implementation for systems of interest to the Department of Defense). This process has been in place for all of the previous NAVSEA contracts approved by the FCR and has been used, without incident, to produce thesis and journal articles for a large number of students with advanced degrees. No security clearance will be required of any of the students for their research.

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

Classified material provided to APL-UW will continue to be handled according to the provided DD Form 254, “Contract Security Classification Specification” as established by the classified security arrangements. Classified research will not be published except in specific publications, such as the Journal of Underwater Acoustics,” that permits and encourages peer-reviewed classified publications. Unclassified publications created under the NAVSEA funding are to be reviewed by the NAVSEA sponsor with a limit of 30 days to provide comment and corrections; otherwise the document will be considered available for publication in the open literature.

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

Nationality

No foreign nationals will be employed in this project.

The FCR voted June 5, 2008, to approve the pursuit of this contract for the duration of the contract. Since all six questions had been addressed, the Council members voted unanimously to approve the 10 year blanket contract, NAVSEA.

ACTION: Approved Unanimously
6. Old Business

- CPR Conflict of Interest Policy (Mark Haselkorn)

Mark Haselkorn distributed a draft CPR Conflict of Interest policy for review by the Council at the last meeting. A number of Council members suggested some helpful changes. Mark resubmitted the edited CPR Conflict of Interest policy for a vote by Council members. A motion was made by Gerald Miller and seconded by Ronald Stenkamp. The Council members voted unanimously to accept this policy.

**ACTION: Approved Unanimously**

7. New Business

No new business.

8. Adjournment

Meeting adjourned at 10:33 AM. *Minutes by Peggy Fanning.*

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

**President’s designee:** Eaton (substituting for Lidstrom)

**Other ex officio members:** Allen, Redalje

Absent:

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

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

**Guests:** Michael Anthony, Bill Bakamis, Lynne Chronister, Peggy Fanning, Robert Miyamoto, Barbara Perry (via teleconferencing), and Jeffrey Simmen