Faculty Council on Research
Friday, December 5, 2007
Room 420 Mary Gates

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

Chair Cathryn Booth-LaForce called the meeting to order at 3.34 PM.

Meeting Synopsis:
1. Call to Order and Approval of Agenda
2. Approve minutes from 9 November 2007 FCR meeting
3. Announcements
4. Requests for Information and Updates
   • Update – Office of Research (Mary Lidstrom, Vice Provost for Research, Office of Research)
   • Update – SAGE (Darcy Van Patten, Manager of Strategic Initiatives, Office of Research)
5. Old Business
   • Voting – Ex Officio Representatives
6. Discussion
   • F&A/Indirect cost rates (Sue Camber, Assistant Vice President, Research Accounting & Analysis and Cristi Chapman, Director, Management Accounting & Analysis)
   • State Initiatives – Research (Randy Hodgins, Director, Office of State Relations)
   • Interdisciplinary Research subcommittee: Plan for 2007-2008 (Haselkorn)
   • Graduate student compensation cap (David Eaton, Associate Vice Provost for Research)
7. Adjournment

1. Call to order and approval of agenda
Cathryn Booth-LaForce opened the meeting at 3:34 PM by asking for the approval of the agenda.

Agenda approved.
2. Approval of minutes from the 9 November 2007 FCR meeting

The minutes of the November meeting were approved.

3. Announcements

Cathryn then asked Council members if there were any announcements. Mark Hasselkorn informed council members that a working group of the interdisciplinary research sub-committee was drafting the final version of a proposed Faculty Senate Resolution. He read sections of the current draft. The working group will get approval from the extended sub-committee before submitting to the FCR for approval.

4. Requests for Information and Updates

- Update – Office of Research, Mary Lidstrom

Mary informed the council members that Carol Zuiches’ last day was November 30, 2007. The Search Committee for the Director of the Office of Sponsored Programs came up with three candidates. They will be interviewing the first candidate over the next couple of days. One of the council members wanted to know when the new director would be starting. The start date is uncertain due to the timetable of interviewing and decision making, but as soon as possible.

Cathryn asked Mary is she had an update on the UW Towers. She said that assignments have been made, and the tower teams are working with each individual group. The Office of Sponsored Programs, the Human Subjects Division, and ORIS are planning on moving around April.

Sue Camber said that there was some space for Financial Management but not enough, so she is not sure what is happening.

- SAGE – Darcy Van Patten, Manager of Strategic Initiatives, Office of Research

Darcy Van Patten gave an overview on the update of SAGE. Sage is still under construction. SAGE is transitioning from a compliance form routing system to a grants management system with the ability to:

- Upload and route electronic files
- Create budgets
- Create sponsor forms
- Compile Grants.gov applications
- Set up and track awards

Darcy went on to talk about some recent milestones:

- File upload and electronic routing of all applications – no more walking paper applications around for signatures
- Successful completion of pilot submission to Grants.gov and NIH – “tested the plumbing”
- Sign-off on budget module prototype – development underway
• Completion of technology renewal – provides foundation for new development

SAGE’s efforts, goals and projected milestones consist of:

• System-2-system integration with Grants.gov
• a detailed budget module
• Notice to Establish Account

Sage will provide better integration between Grants.gov and UW required output, reducing redundant data entry and increasing productivity. The web-based forms allow for easier collaboration and improved submission process with a faster process with real-time updates on status of application.

The detailed budget module allows for line-item calculations with automated rates and calculations. Output is required for UW account setup and an output is required by major sponsors starting with Grants.gov requirements. The detailed budget module will also capture cost-share and faculty effort as required by eFECs project. The budget module will help to calculate personnel costs such as tuition, salary rates, percent of time, and percent of monthly involvement. The cost sharing will be incorporated as part of the second phase of development.

F&A set up – identify rate and locations and calculate all correctly. The second phase development for the budget module will include the ability to create nested budgets, including sub-budgets, sub-contracts, and fabrication budgets.

The budget module will benefit faculty. Faculty are always a part of the budget process and the budget module will benefit faculty by:

• Better self-service for faculty who create their own budgets
• Support better collaboration and hand-off during budget development
• Eliminate need to look up rates in outside systems and online
• Support development of “what-ifs” for rapid feedback and decision making
• Reduce or eliminate redundant data entry

The Notice to Establish Account will help to make the setup of an award and financial account more accurate and timely. It will also reduce the turn-around time and improve transparency, with real-time status of award setup. Process improvement opportunities include consolidation of the advanced budget request process in GCA and more efficient check handling.

5. Old Business

• Voting – Ex-Officio Representatives

Cathryn wanted to talk about who can vote and who can’t. Apparently, in the past Ex-Officios could vote if council members approved it for that particular academic year.

Theresa Barker remembered being able to vote a few years back, and she thought that it was special that Ex Officios could vote too and feel like they were really part of the council and be able to work together as a committee.
A discussion pursued with one person thinking that the Council represents faculty and it should be just faculty voting. Another council member thought that everyone who attended the meeting should be able to have a vote. David Fluharty moved that Ex Officios be able to vote for this academic year and Mark Haselkorn seconded the motion. The motion carried and was approved.

**ACTION:** Approved

6. Discussion

- F&A Rates, Sue Camber, Associate Vice President, Research Accounting and Analysis, and Cristi Chapman, Director, Management Accounting and Analysis (MAA)

Cristi presented an overview of the Facilities and Administrative Rate Proposal. She distributed a handout of the Project Life Cycle of the Facilities and Administrative Rate Proposal, more commonly known as an indirect cost rate proposal. Last spring, MAA developed a project plan and budget, and formed campus advisory committees. For the last six months, they have been putting together a project plan and gathering space inventory data. In the planning phase, campus training was updated and preliminary data reviewed along with updating space inventory and CAD drawings. The potential calculations take about 9 – 12 months from the end of the fiscal year (June 30, 2008), and it takes about six to twelve months after UW submits its proposal for the federal government to review it. This process takes a very long time, so new rates probably won't be finalized until about winter 2010.

Cristi talked about the organizational chart. The Core Project Team consists of: Cristi Chapman, Project Lead; Michael Anthony, Technical Expert; Brion Norton, MAA; Joe Nalley, MAA; and Devon Rosencrans, MAA. In the handout, it showed all the different areas that the Core Project Team interacts with, including the Steering Committee. A representative of the Faculty Council on Research is part of this committee. The Steering Committee will look at the negotiation parameters. The Executive Sponsors consist of Phyllis Wise and V'Ellia Warren. There will be an upper campus advisory group and a School of Medicine advisory group. University-wide communication can be carried out through town meetings, college/school/department and BOD/RAB/FCR meetings and through newsletters and QRAM. The Key process partners are the academic departments, CASPO, CPO, GCA, Facilities Services, Financial Accounting, and OSP. The campus stakeholders consist of faculty, college and departmental leadership and the central administration. Through this outreach, MAA is trying to continually improve the process of preparing the F&A rate proposal.

The current F&A rate on campus is 56%. Large equipment and tuition are examples of direct costs that are exempt from indirect costs. Indirect costs rates last for a period of about four to six years.

- State Initiatives – Research, Randy Hodgins, Director, Office of State Relations)

Randy Hodgins talked about state research initiatives and how the UW builds budget requests to present to the Washington State legislature. The good news is that the visibility of UW research contributions has been very good. The Governor has particular
interest in the economic development aspects of research. The passage of the Life Sciences Discovery Fund by the legislature will also increase research dollars for the UW and WSU, which is expected to make a big impact. When these Life Sciences funds become available next April, it will help to bring Washington State up to the middle of the pack of state funding for research instead of at the bottom where we are now.

Randy brought an example of a budget decision package that gets presented to the legislature. The UW asks the state for a two-year budget appropriation in the odd years, when the legislature acts on the biennial spending plan. When we put together a recommendation, 90% is usually based on what is in the best interest for the UW – what’s hot, like environmental issues. Last year we tried for funding for eScience, which was not successful. When we compile our recommendations all together, Provost Wise will present it before the Board of Regents for their approval. Some of the things that we always request in biennial budgets are funding to cover salaries and new enrollments.

In even numbered years, the legislature enacts a supplemental budget which is intended to build on the biennial budget they passed the previous session. In the 2008 supplemental budget, the UW has a strong interest in improving safety on campus. The Governor will be coming to campus next Tuesday to unveil her safety package for the UW and all higher education institutions.

Some of the other research items for which we are asking for funding in 2008 include eScience, domestic health metrics, and Ports, People, and Puget Sound. Mark Haselkorn asked about the components of proposals for funding. Randy explained that eScience was put together by a group of faculty and deans; the Puget Sound clean up was written by Arthur Nowell. There were discussions internally about vision statements and how they try to tie them to UW goals. The focus is on broad initiatives like the environment, eScience, which is also tied to NEPTUNE and health metrics, which came up through the deans.

Mary Lidstrom indicated that this is a very informal process. The biennial issue and supplemental budget are very small. The NEPTUNE project is about a $130M dollar project. The eScience project will be presented for the third time this year, building on the NEPTUNE project.

In 2009 – 2011 the solicitation will include an array of broader requests.

Daniel Vogt wanted to know if the UW ever links up with WSU to enhance our approach. They do not link together too extensively, because the UW and WSU have somewhat different concentrations of research expertise such as our strength in global health and WSU’s strength in agriculture. However, the state does like to see its two research universities collaborate, so future partnerships are a possibility.

Cathryn Booth-LaForce introduced Jerry Finrow as a new council member from the Department of Architecture, because this was the first FCR that he has attended.

7. Adjournment

Meeting adjourned at 4:52 PM. Minutes by Peggy Fanning.
Present:  **Faculty members:** Booth-LaForce, Finrow, Fluharty, Haselkorn, Roesler, Schwartz, Stenkamp, Vogt, and Wright  
**President's designee:** Mary Lidstrom  
**Other ex officio members:** Barker, Nathu, Redalje

Absent:  
**Faculty members:** Khagram, Miller, Schwartz and Wright  
**Ex-officio members:** Allen, Foster, Harrington, Russell

**Guests:** Sue Camber, Cristi Chapman, Peggy Fanning, Randy Hodgins, Darcy Van Pattern, and Jeanne Small