University of Washington
Faculty Council on Research

The Faculty Council on Research met on Monday, December 6, 2004, at 9:00 a.m., in Mary Gates Hall 420. Chair Brent Stewart called the meeting to order at 9:05 a.m.

Synopsis:
1. Announcements, minutes, agenda
2. Electronic Effort Reporting Initiative/Focus Session
3. GIM-34 Revised Guidelines for Classification of Gifts and Sponsored Projects
4. GCA Reorganization
5. F&A rate proposal
6. Effort Reporting Compliance Project

Announcements, minutes, agenda
The agenda was approved; the minutes were approved with one correction. Stewart advised the Council that, in order to make the best use of everyone's time and accomplish a crowded agenda, subcommittees would need to meet more frequently and bring the results of their work to the full Council for discussion/approval.

Stewart Tolnay reported on his participation on the Human Subjects Policy Board, which is focusing on oversight of the seven point plan outlined by VP for Research Craig Hogan to upgrade, streamline and improve the quality of work and timely response of the Human Subjects Division (HSD). The HSD staff coordinates the work of six Human Subjects Review Committees, sometimes called Institutional Review Boards (IRBs), and two subcommittees. They review about 5000 new and continuing protocols annually, and have faced growing volumes of activity, as well as increasing regulation, oversight, legal exposure, and public awareness and sensitivity to human subjects issues. The Policy Board will be involved in the accreditation process and will review all documentation for clarity.

Stewart and Ross Heath reported on the Faculty Senate meeting, which included remarks by Pat Doble, the new Faculty Athletic Representative. Doble's appointment fills an important need for increased faculty representation and influence in athletic programs.

Doble told the Faculty Senate that the University has joined the Coalition On Intercollegiate Athletics, which was formed to address "athletics arms race" concerns: the length of athletic seasons, high cost of facilities, and adverse effects on academics. The National Collegiate Athletic Association (NCAA) has adopted rules that require athletes to make specific progress toward an academic degree or their teams will be penalized. UW sports programs rank high academically – of 270 athletes in UW programs, only 10-15 are having academic troubles. Some UW athletes are academic stars.

Electronic Faculty Effort and Cost Share Reporting Initiative
Faculty effort is the percentage of time faculty members spend on instruction, research, patient care, administration, etc. that is compensated by the University of Washington. The federal government requires signed documentation for faculty salary costs charged to grants and contracts and for cost-sharing related to sponsored agreements.

The results of non-compliance with the Office of Management and Budget (OMB) Circular A-21 regulations on Faculty Effort include adverse audit findings, requirement for a corrective action plan, special monitoring by the sponsor, designation as a high-risk organization, potential loss of expanded authorities, temporary withholding of payments, withholding of future awards, debarment, suspension, and other legal remedies. Several major universities have been penalized for incorrect reporting.
At present, the UW is reporting faculty effort to the Federal government using an antiquated, paper-intensive legacy system. Several options are being considered for replacing this system; the Office of Sponsored Programs is conducting focus group sessions to get feedback on the vendor products that are available and will soon decide whether to build or buy the replacement system.

During the meeting, FCR members participated in a brief focus group session and gave feedback on the "look and feel" of three vendor systems that are being considered. Members generally preferred buying a system rather than building one, and suggested integrating the FEC system with UW payroll and budget systems so that appropriate levels of detail will be available.

**GIM-34 Revised Guidelines for Classification of Gifts and Sponsored Projects**

GIM-34 guidelines enable faculty and staff to properly classify and identify the appropriate institutional review process for accepting various forms of monetary and/or non-monetary support from third parties. Correct classification and oversight ensures that the University complies with all terms specified by the sponsor/donor; meets the State's reporting requirements; properly recovers its costs, both direct and indirect; monitors the nature and extent of research in various units; and complies with laws, regulations and University policies. Incorrect classification can subject the University to substantial fines and sanctions.

President Emmert has convened a Task Force on Gifts, which has implemented revised guidelines that make clear the difference between sponsored projects and gifts. It is important that faculty know and use these guidelines as safeguards.

For non-governmentally supported activities, a proposal or award is a Sponsored Project if any of the following conditions apply, and as such, must be processed through the Office of Sponsored Programs:

- The research project involves the use of human subjects, vertebrate animals, radioisotopes on humans, radioactive materials, recombinant DNA, human body substances, etiologic agents or proprietary materials.
- The award contains terms regarding delivery of specific goods and services by the University; the period of performance; ownership or related rights to intellectual property; insurance, indemnification, or warranty; restrictions on publication of research results; or audit requirements.
- The funding sponsor retains authority to withhold support pending satisfactory completion of project objectives and/or unused funds, or support must be returned to the funding sponsor.
- Formal financial accounting and/or reporting to the sponsor is required, during the life of the project, at its termination, or both, including periodic progress reports and such things as invention reports, royalty reports, financial status reports, equipment inventory reports, etc.
- Unpublished reports related to the substance of the work, during the life of the project or at its termination, are either required by the sponsor or have been volunteered by the investigator.
- Research support is based on milestones or deliverables.
- Other non-University sites participate as collaborators in the supported research project.
- Support is provided for research study-related patient care services or the routine cost of care in research studies.
- External support from a pharmaceutical company or medical device manufacturer is provided for the testing of its products or services.
- Any project for which the third party requires a published report.
- Any project whose product is a pharmaceutical or device.

Gifts are processed through the Office of Development, and are defined as the voluntary provision of support by a donor, without any requirement or expectation of any economic or other tangible benefit in return. In general, the following criteria identify a Gift:

- The support does not meet any of the above criteria for a Sponsored Project.
The support is irrevocable. The donor intends to the support to be irrevocable and, therefore relinquishes the right to reclaim it or any unused remainder.

- No goods or services are offered or exchanged in consideration of receipt of the support.
- A period of performance is not specified.
- The donor provides the support to the University without expectation of direct economic benefit or other tangible benefit. Indirect benefits such as tax advantages, business or personal goodwill derived from close association with the University, and the miscellaneous benefits derived from donor status do not negate gift intent.

Craig Hogan asked that FCR members scrutinize the GIM34 guidelines closely, and email Suzanne Page or Carol Zuiches with comments, questions, or concerns.

**GCA Reorganization**

Susan Camber described the reorganization of Grant and Contract Accounting. The office, which was for many years organized by functional units, is now organized by teams that serve specific schools and colleges. This will allow researchers to have contact with the same GCA team for setting up, invoicing and closing grants and contracts, instead of being passed from section to section to accomplish those tasks. GCA staff members will no longer specialize, but will become more versatile in rendering assistance to researchers. Camber knows there will be a steep learning curve for some of her staff, and will check back with FCR members in a few months for feedback on the new team system.

**Facilities and Administration Rate Proposal**

Christy Chapman reported that the new F&A proposal was submitted to Health and Human Services (HHS) in mid-July. The UW is now responding to HHS inquiries and waiting for site visits to begin. HHS will sample departments, do walkthroughs, and ask questions of research staff in order to verify how research spaces were used in 2003. Prior to their visit, HHS will notify the UW. Selected departments will be notified and training for the visits will be conducted. Chapman said the UW's new F&A rate is not yet known, but a peer university's rate is about 54%. The UW's rate may turn out to be similar.

**Effort Reporting Compliance Project**

Susan Camber advised FCR members that some institutions have had to do significant paybacks, because more than 100% of their faculty effort was being charged to grants and contracts. This included some faculty that had been awarded Career Development grants (K-Awards). The discrepancy in how effort is charged appears to arise from the assumption that there is still a 40-hour workweek, which is no longer the case.

Camber visited NIH to clarify the rules, and discovered that there may be some inconsistent practice at the UW. She sees the need for training, and asked for suggestions as to what kind of training would best serve the research community. The Dean of Medicine wants training for all faculty – should others be included as well? Camber said there is a Web-based grants module that includes this kind of training. Perhaps this could be purchased and made available.

After discussion, FCR members were in favor of "just-in-time" training rather than saturation sessions that are not retained. If this can be accomplished as a part of the online certification system, that would be ideal. Another approach would be to flag the online FEC forms of any faculty member whose numbers look inconsistent and supply a link to instructions and information on FEC.

The meeting was adjourned at 10:38. Minutes by Linda Fullerton, Recorder.

**Present:** Benner, Booth-LaForce, Franz, Haeveler, Kiyak, Kumar, Rasmussen, Stewart, Tolnay, Blake, Hogan, Parks, Zuiches, Barker  **Absent:** Heath, Miller, Morrison, Sarikaya, Vogt, Stygall, Fredericks, Dworkin, Camber, Kahl, Ashby-Larrabee,