

**UNIVERSITY OF WASHINGTON  
FACULTY COUNCIL ON UNIVERSITY LIBRARIES**

The Faculty Council on University Libraries met at 9:00 a.m. on Monday, **February 3, 2003**, in Allen Auditorium in Allen Library. Chair Geoffrey Sauer presided.

**PRESENT:**     **Professors** Sauer (chair), Berry, Kerr, Lavelly, Martin, Schepp, Wilkinson and Zick;  
**Ex officio members**, Ogburn, Sercombe and Wilson;  
**Regular Guest** Charles Chamberlin, Deputy Director of Libraries;  
**Guests** John Paul Deley: University Archivist; John Holmes, UWILL Coordinator,  
University Libraries, Odegaard Undergraduate Library (OUGL); Jane Wiseman:  
Director, UW Management Accounting and Analysis.

**ABSENT:**     **Professors** Brown, Chance, Moy, Sullivan and Sutton;  
**Ex officio members** Fuller and Ullman.

**Approval of minutes**

The minutes of January 6, 2003 were approved as written.

**John Paul Deley – University Archivist**

Deley said University Archives is the “permanent home of the permanent records of the University of Washington.” It is the “documentary heritage” of the University.

University Archives has a “different sort of authority.” There is a “statute that dictates that, as a public institution, the University must preserve certain types of records permanently. There are in fact many state and federal statutes regarding authority to which the University is subject.”

Deley said there are “four different types of collections in University Archives”:

- 1) University Records;
- 2) Faculty Papers.
- 3) University Publications.
- 4) Student Life and Alumni Files.

Deley said there is a “Record Group Numbers Master List,” and, as an example, he cited and showed the lengthy list of records from the Arboretum. He showed the council a list of literally hundreds of records of every conceivable kind covering the entire history of the Arboretum.

Deley said there are records of a great many faculty members of the University of Washington from the time of its inception to the present day. He often asks specific faculty for any papers they might wish to donate to the University, and sometimes faculty simply come forward on their own to make contributions. He told the council about Iwao Matsushita, from Asian Languages and Literature, who bequeathed the University his records relating to World War II. These are profoundly moving documents of irreplaceable worth. And there are other such records in University Archives, including letters from the Birnbaum Collection: letters written from Europe to family members in America who lost loved ones in the interment and death camps during the war. These letters are extraordinarily difficult to confront emotionally, but are invaluable documents of human history.

Deley said there are some 400 Web sites devoted to current UW faculty members. But many of these are only captured electronically; there are no hard copies of these documents, which is a vulnerable situation. “We need an infrastructure to be able to capture these documents.”

Deley said there are innumerable publications and imprints from the University of Washington going back to the turn of the twentieth century. There are links to such current publications as University Week, which has electronic versions of its publications going back to 1998.

In the last category, Deley said there are over 550 student and alumni associations and groups (fraternities, sororities, etc.), each with its own Web site. As a sample, he displayed some of the historical Husky Crew photographs (the Husky Crew, both men's and women's, is one of the most honored and successful in the country over the past 100 years).

As for initiatives, Deley said he will be putting two "Tyees" online: one from 1903 and one from 1953. These are invaluable documents offering a picture of the University's academic and social life at two pivotal points in its history.

Deley said there is a Faculty Advisory Committee to the University Archivist – appointed by Betsy Wilson – that counsels the Archivist, essentially offering "record guidance," to help maintain a high quality of electronic record management and record integrity.

Deley mentioned "Faculty Partnerships," "UW Presidents," and "Pictorial History" as three other examples of archival records being maintained in University Archives. All UW presidents, back to President Suzzallo and beyond and forward to President McCormick, are included in one expanding archival record. One example of the University's "Pictorial History" that Deley showed the council is a remarkable black-and-white photograph of Parrington Hall and the Quadrangle from early in the twentieth century.

There are also archival records of the "Histories of UW Departments."

Deley said he would be glad to speak at any departmental meeting on campus. (It is at such meetings that he sometimes induces faculty and/or administrative members to come forth with new documents for University Archives.)

### **Jane Wiseman – Director, UW Management Accounting and Analysis**

Wiseman distributed a "University of Washington Overview of Library Process/Procedures for Facilities and Administrative (Indirect) Cost Rate Proposal," and a "Facilities and Administrative Rate" packet.

As to the costs of research at the University, Wiseman said there are direct costs (salary of the PI performing the work, lab supplies, and research equipment) and facility and administrative costs (such as cost for heat and light, cost to maintain research labs, and cost to prepare a PI's payroll check).

As to how the facilities and administrative rate is calculated, this is a combination of the facility and administrative costs of organized research (51.6%) and the modified total direct costs of organized research. Organized research is research that is separately budgeted and accounted for, with a defined scope of work, reporting requirements, etc.

As to how the F&A rate is compiled and negotiated, Wiseman said, "We negotiate with Health and Human Services in San Francisco."

She said the costs/dollars included in the F&A rate proposal are categorized into F&A (formerly called "indirect") and direct cost categories. Expenditure data for a "base" year, agreed to by HHS, is used to calculate the facilities, administrative, and direct costs of organized research. FY 2003 will be the next "base" year for the UW.

An F&A rate proposal is prepared and negotiated by Management Accounting and Analysis (MAA). Academic departments and central offices provide significant data to prepare the F&A proposal.

The F&A rate proposal is submitted to and negotiated with HHS, Division of Cost Allocation, San Francisco Region. The UW will submit its next F&A rate proposal in December 2003.

Wiseman referred the council to changes in current fund expenditures on page five of the handout. The change in total expenditures from 1995-2001 is from \$1,368,042,000 in 1995 to \$2,136,995,000 in 2001, or a change of 56.21%. Whereas the change from 1991 (\$1,043,024,000) to 1995 was only 31.16%.

As for facilities investments to increase the F&A rate, Wiseman referred the council to a list, on page seven, of investments having the greatest impact upon the F&A rate. Operations and maintenance for research facilities is the investment with the greatest impact. Building interest for research facilities is second. Equipment purchases are third. Building construction for research facilities is fourth. And Libraries is fifth. Although the current year's expenditures for libraries can be included in the F&A rate proposal, allocation methodologies available provide a low allocation (8.7%) of library dollars to organized research.

The University of Washington's on-campus research indirect cost rates, as compared with eight peer institutions with major health centers, shows that the UW ranks 2<sup>nd</sup> in the top 100 institutions nationally (rank by dollar volume of federally funded R&D expenditures), while the University of Michigan at Ann Arbor ranks 4<sup>th</sup>, UCLA ranks 12<sup>th</sup>, UC Berkeley ranks 21<sup>st</sup>, and the University of North Carolina, Chapel Hill, ranks 23<sup>rd</sup>.

As to on-campus research indirect cost rates, in a comparison with the top 30 institutions listed in Circular A-21, the University of Washington ranks fourth after John Hopkins University, Stanford University, and the Massachusetts Institute of Technology.

As for cross allocations, Wiseman said, "We will try to keep the allocation to research as high as we can. We're working with other universities – I attend at least three conferences a year in this effort – to get better, higher allocations." She said the University's current indirect cost reimbursement is \$150 million. "We negotiated in 1995 to have a more flexible 'on campus' definition, which should be beneficial to the University. As an example, the 'Roosevelt 2' building is considered 'on campus.' "

As to the Overview of Library Process/Procedures for Facilities and Administrative (Indirect) Cost Rate Proposal, Wiseman's handout identified the following process and procedures.

- 1) Identify all expenditure budgets associated with the central library system.
- 2) Identify the other facilities and administrative costs that should allocate to libraries.
- 3) Allocate other facilities and administrative costs to library costs.
  - a) Facilities costs typically allocate to on-campus organized research according to the functions assigned to space.
- 4) Allocate library costs and other facilities and administrative costs that are allocated to the library to the functions that the library benefits.
  - a) OMB Circular A-21 default allocation methodology requires library costs to be allocated according Full Time Equivalents (FTEs).
    - i. Allocate library to student, faculty and professional staff, and outside (non-UW) user FTEs.
      1. Student FTEs: allocate entirely to instruction.
      2. Faculty and professional staff FTEs: allocate according to the finding sources of their salaries and wages.
        - a. This is the only FTE "category" that will allocate to research.
        - b. The percentage of proportion of salaries paid from organized research projects will determine the percentage of library \$s allocating to research.
      3. Estimated FTE for outside users allocates entirely to other institutional activities.

**Meeting between ALUW Representatives and the Faculty Senate Chair regarding Plans for Future Cooperation between the two Organizations – John Holmes: UWILL Coordinator, University Libraries, Odegard Undergraduate Library (OUGL)**

Wilson said, by way of introduction, “The Libraries is a special group. We have our own Personnel Code, which mirrors and parallels the Faculty Code. Our guiding principles are similar to those of the faculty. We have the same promotion and tenure process. We have Associated Librarians of the University of Washington (ALUW) representatives on the faculty councils. This system is very successful overall. We expect to make further contributions as librarians become more involved in partnerships with faculty.”

Holmes said the meeting with Faculty Senate Chair Sandra Silberstein, Secretary of the Faculty Lea Vaughn, Engineering Instructional Services Librarian Linda Whang and others was mostly “exploratory.” Possible models were discussed for ratcheting up the role of librarians in faculty governance.

“Teaching is the most visible way we’ve changed our role,” Holmes noted. “We have been teaching courses in several departments; one course we regularly teach is Info 220. And if we have this teaching role in curriculum, we should have a greater role in the decision process.”

Holmes emphasized, “We’re *not* a collective bargaining group: a labor group. We’re only librarians in the state system who are *not* faculty, and who are not affected by raises accorded faculty. We have 125 librarians in all on the three campuses. We’re searching for a model to represent us in the decision-making process. But we’re *not* interested in collective bargaining.”

Holmes said there has been no formal vote conducted to this point. “The discussions are exploratory.”

### **The Rose Report – Geoff Sauer**

Sauer said he will hear more at today’s Senate Executive Committee meeting about the test version [of the University Council concept] being conducted by the Faculty Council on Research. “We do not feel the University Council concept is appropriate for this council, though perhaps it’s appropriate for other councils,” he stressed.

### **Visit to 51 library units by Director of Libraries Betsy Wilson**

Wilson said her now-annual visit on the first day of class in Winter Quarter to all 51 library units on the three campuses (she did not go to the library at Friday Harbor, for understandable reasons) “reminds me of the incredible diversity of our libraries.” Ultimately, she enthused, “It’s a reminder of why we’re here.”

Wilson began her odyssey in Bothell, continued on to the main campus in Seattle – where she visited all 48 library units on campus, averaging just enough time in each unit to extend an invitation to the all-staff meeting, and to wish each staff well in its work this academic year – then wended her way to the library at the Harborview Medical Center, and completed her “fun trip” at the library in Tacoma.

Finally, she said, the odyssey is a symbolic one, but a meaningful one as well. And doing it on the first day of classes, with the marvelous energy and hubbub of the students starting their quarter, makes it more symbolic yet, and more enjoyable.

The part of the odyssey that is *not* symbolic is the 6 ½ hours of walking she endures on that day. But that too, she said, is part of the excitement of this unique event.

### **Next meeting**

The next FCUL meeting is set for Monday, March 3, 2003, at 9:00 a.m., in the Peterson Room of Allen Library, though it may well be that the council will also be visiting one of the campus’s branch libraries.

Brian Taylor  
Recorder