

University of Washington
Faculty Council on Research
Wednesday, October 1, 2008
Room 420, Mary Gates

Faculty:

Sara Curran, Jackson School
David Fluharty, Marine Affairs
Mark Haselkorn, Technical Communication, Chair
Apurva Jain, Info. Systems & Operations Mgt.
Gerald Miller, Physics

Axel Roesler, Art
Susan Spieker, Family & Child Nursing
Ronald Stenkamp, Biological Structure
Daniel Vogt, Forest Resources
Richard Wright, Linguistics

President's Designee:

Mary Lidstrom, Vice Provost for Research

Ex Officio:

Susanne Redalje, ALUW Representative
To be Named, ASUW Representative
To be Named, GPSS Representative
Carol Rhodes, Professional Staff Organization

Jeanne Small, PSO Alternate
David Foster, Retired Faculty
James Harrington, Faculty Legislative Rep.

Meeting Synopsis:

1. Call to Order and Approval of Agenda
2. Approve minutes from 5 June 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
 - Report on Federal Demonstration Partnership Meetings (H. Asuman Kiyak)
 - Joint FCUL-FCR subcommittee on open access publishing (Charles Wilkinson)
6. Old Business
7. New Business
8. Adjournment

1. Call to order and approval of agenda

Mark Haselkorn opened the meeting at 1:40 PM by asking for the approval of the agenda. The agenda was approved as written. The members went around the room introducing themselves to everyone, since this was the first meeting of the academic year. Jonathan Nurse from Federal Relations joined the meeting via teleconferencing.

2. Approval of minutes from the 5 June 2008 FCR meeting

The minutes of the June meeting were approved with an edit requested by Gerald Miller regarding the approval of the APL Classified, Proprietary, and Restricted Research.

Voting of striking paragraph regarding the APL approval restrictions was **approved** – unanimously.

The Chair asked faculty members to consider giving council members from representative groups voting privileges. A motion was made to approve extending voting privileges to ex-officio members. It was then seconded, and passed unanimously.

3. Announcements

Mark Haselkorn went to Senate Executive Committee meeting. There were two areas discussed that pertain to what we do as a committee:

1. Classified, Proprietary, and Restricted Research, and
2. Promotion of interdisciplinary, cross-unit research. Last year we passed a Class C Resolution affirming that academic administrators should be evaluated on their promotion and support of interdisciplinary, cross-unit research. This year we may work on another that affirms that professors on tenure track receive full credit for interdisciplinary research and publishing.

Mark Haselkorn wanted to know if we should continue working on this interdisciplinary problem. Mark will try to get three people to spearhead work on this.

David Foster thought that we should pay attention to faculty issues like compensation paid to faculty for writing proposals.

Mary Lidstrom said there could be a trade-off, like lowering faculty salaries, which would make money available.

Mark Haselkorn said that this wasn't on the table at the moment, but we could re-visit this issue at a later date.

4. Requests for Information and Updates

Due to a time crunch for Asuman Kiyak, Mark asked Mary Lidstrom if Asuman Kiyak and Sinh Simmons could report on the Federal Demonstration Partnership meeting in place of Mary giving her update at this time. Mary agreed to let them give their report of the Federal Demonstration Partnership meeting and Mary would give her update later.

- Report on Federal Demonstration Partnership Meetings

Asuman Kiyak has served as a faculty representative for the Federal Demonstration Partnerships (FDP) over the past four years. The Federal Demonstration Partnership (FDP) celebrated their 20th Anniversary Meeting on September 7-9, 2008, which Asuman and Sinh Simmons attended. The purpose of the meeting was to celebrate the 20th Anniversary and the start of Phase V of the FDP, a cooperative initiative among 10 federal agencies and 120 institutional recipients (universities and non-profit research institutions) of federal funds. The FDP is a program sponsored by the Government, University, and Industry Research Round Table (GUIR) of the National Academies. The purpose of this group is to reduce the administrative burdens associated with research grants and contracts. This interaction between FDP's 300 or so university and federal

representatives (one faculty rep. and at least one administrative rep. from each institutions) take place during FDP's 3 annual meetings and more extensively in its many collaborative working groups and task forces. Their primary purpose is to simplify and streamline terms and conditions across FDP member federal agencies (e.g. NIH, NSF, EPA, and Dept. of Energy). Projects that have been demonstrated through this partnership and eventually adopted include modular budgets, eRA commons, streamlining sub-award agreements, and currently a project on payroll certification.

One of the highlights of the meeting and a major theme of the anniversary celebration was the concern with faculty burden. A survey of researchers in 2006-2007 at FDP member universities, showed that more than 30% of researchers' time on grants is devoted to administrative tasks, not research. One way to alleviate this burden is to allow administrative support as part of direct costs on grants, but funding agencies are reluctant. In order to communicate faculty concerns to these agencies, institutional members support the idea of finding "champions" in Congress, and encouraging more participation in FDP by OMB. The key objective of Phase V is to maximize the time of PIs to focus on science and reduce their bureaucratic tasks.

Several federal agencies presented updates of their funding programs. These include:

- 1) NIH** – discussed transition to Adobe forms, effective for all January 2009 application deadlines. Some new requirements are for Grants.gov submission for SBIR/STTR in 2009, career development (K-award) in February 12, 2009, Fellowship grant in April 8, 2009, and training grants in September 2009. NIH has developed a web-based tutorial for financial conflict of interest (FCOI) changes and reporting tool for FCOI via the NIH ERA Commons. This feature will be available for pilot testing by FDP institution by October 2008. Participants will be able to search, edit the previously submitted report, respond to request for more information and view history of actions. There will be a new Funding Opportunity Announcement for the parent FOA (formally know as 'Unsolicited application'). The NIH Peer Review Task Force is focusing on improving study section reviewer selection and training, shortening RO1 applications to 12 pages, as well as R21, R03, K and F applications, in an effort to reduce burdens on applicants, reviewers, and NIH staff.

- 2) NSF** – Plan to mentor postdoctoral research fellows in training grant applications, a plan for responsible conduct of research (RCR) by the research team (including grad and undergrad students and postdocs). The application will be returned without review if it fails to address graduate and postdoc support. NSF will reinstate cost-sharing requirements in 3 programs: ERC, MRI and EpsCor. There was extensive discussion of upcoming changes in NSF's faculty Salaries, shifting from two months in the summer i.e. 2/9 = 100%. NSF will also revise its Grant Proposal Guide (GPG) in October 2008 to reflect these changes. For more details visit the NSF slide show on FDP website.

- 3) Department of Energy** – Like NIH, DOE will require Adobe forms for application in Summer 2009. Their internal grants management system will not be deployed until March 2009. There is a plan to submit final progress reports and property reports to the FedConnect system.

- 4) Air Force Office of Sponsored Programs** - As of January 2009, AFOSR will maintain all electronics grant files and will email PI and business office 30 days before grant expiration date so PI may request for a no cost extension or prepare for closeout accordingly. Information and status of proposal will be available and searchable on-line.

This is expected to reduce communication time and processing. Because of the continuing resolution through 2009 and straight lining of funds, AFOSR does not expect to fund any new grants in the near future.

5) Department of the Army – ARO expects to award \$500 million for basic research and \$6.2 million for applied research in areas relevant to DOA (e.g. battlefield capability, robotics).

6) Environmental Protection Agency – EPA recently completed a science research fellowship program for 300 fellows. EPA also compiled its big re-organization to improve grant administration and finalized its grant management plan for 2009 – 2013.

7) Office of Naval Research – ONR will require proposal submission via Grants.gov using Adobe forms starting in FY2009. ONR will upgrade the AdminWeb system by November 1, 2008.

8) Grants.gov – Grants.gov will perform a reliability upgrade in October 2008 to increase server capacity in memory and speed so that the system can accept submission of 20,000 applications at a time.

Sinh Simmons explained that Grants.gov is quite slow, when submitting a proposal sometimes it takes 2 to 3 hours to get back a confirmation. Grants.gov has a help line and the Office of Sponsored Research has a help desk.

If you have any questions or suggestions to improve research administration and reduce administrative burden on researchers via FDP, please contact Sinh Simmons at 685-7165 or ssimmons@u or Asuman Kiyak at kayak@u. Asuman recommended that the future faculty rep from UW should come to give FCR members updates on FDP activities.

4. Requests for Information and Updates (cont.)

Mary Lidstrom gave an update of the Office of Research in which she discussed the vision of the UW research, the iSTAR initiative, the OIM Research Roadmap TaskForce and future strategic plans.

Recent Administrative hires are Paul Jenny who is the new Vice Provost for Budgeting and Planning and Linden Rhoads who is the new Vice Provost for the Technology Transfer. Barbara Perry is leaving the end of October to work at the UC San Diego. Jonathan Nurse will be replacing Barbara Perry in an Interim capacity. John Wilkerson, Professor and Associate Vice Provost for Research left UW to go to University of North Carolina.

Dave Montgomery was awarded the prestigious MacArthur Fellowship for his study of how soil and rivers shape civilizations. Provost Phyllis Wise was elected into the Institute of Medicine.

There have been a number of changes in UW Technology (previously Computing and Communications). Kelli Trosvig, Interim Chief Operating Officer, has been trying to stabilize the organization, and to correct their large budget deficit. Ronald Johnson is now serving in a new capacity as the Chief Technology Officer advising the President.

Mary presented an update on the Office of Research Bridge Program. Twice a year applications for faculty who have lost research funds or are in between funding can apply for bridge funding up to \$50,000. The Provost's funds must be matched 100% by their school or college. In the first round in December 2006, twelve awards were given out and eight out of the twelve received new funding. In May 2007, eleven out of thirteen received awards and nine out of the eleven received extra funding. The bridge funding was essential for allowing them the opportunity to secure the extra funding. The next deadline is December 1, 2008. They receive about twenty applications but six to eight are usually ineligible either because they are from faculty who do not administer their grants through the UW or faculty who still have funding. Provost Wise feels strongly about continuing this Bridge funding program.

Mark Haselkorn commented that the Bridge Funding was not a bail out but an investment.

The Royalty Research Fund review is being chaired by Tom Daniel. Daniel Vogt, as a council member of the Faculty Council, will be part of that committee.

5. Discussion

- Joint FCUL-FCR subcommittee on open access publishing (Charles Wilkenson)

Significant concerns have developed in the academic community regarding the rapidly escalating costs of online and print journal subscriptions for libraries and individuals and restrictive copyright agreements that limit the rights of authors of scholarly publications to make use of their work due to the concentration of scholarly journal publishing in the hands of a small number of commercial publishers. One response to these concerns has been the growth of "open access" in which scholarly publications are made freely available to all users, and the costs of publication are shifted from a "pay to read" to a "pay to publish" model. This move toward open access publishing has also been driven by public and legislative calls for public access to publicly funded research. These issues have led the faculty senates of several major universities to adopt resolutions in favor of the concept of open access and in support of faculty understanding and retention of their rights as authors. The University of Washington Faculty Senate has yet to address these issues of scholarly communication directly, although the Office of Research issued a Statement of Position in support of open access in 2007 (<http://www.washington.edu/research/main.php?page=openAccess>).

After discussion at meetings of the Faculty Council on University Libraries and the Faculty Council on Research during Spring Quarter of 2007, Charles Wilkinson requested the formation of an ad hoc Scholarly Communication Committee to draft a resolution in support of open access and faculty author rights, the committee to consist of members of the FCUL, FCR, and Libraries' staff.

Gerald Miller asked what the charge of the Committee is. The Charge is to develop a statement to present to the Faculty Senate for their approval. Long term – there will be a further discussion of the possibility of faculty self-mandating the deposit of their publications in a freely accessible institutional repository. Some journals are being consolidated and rates are sky rocketing, and if online subscriptions are dropped, there is no guarantee of continued access to back issues previously purchased. There has

been a \$750,000 increase in journal subscription costs for UW Libraries over the last year. Wilkerson explained that the number of university faculties in favor of open access is growing. The resolution would serve three purposes: 1) to put the UW faculty on record with the faculties of other universities in support of open access and preservation of authors' rights; 2) to educate faculty members regarding these issues through the process of SEC and Faculty Senate discussion of the resolution; 3) to assess support for and/or resistance to a self-mandated open access policy similar to the Harvard model and, if warranted, begin the process of creating such a policy.

Wilkinson envisions two tiers of potential activity for the subcommittee: the short-term process of drafting a resolution and shepherding it through the Senate, and, if favorable faculty opinion can be generated, a long-term, multi-year process of mandating the deposit of faculty journal articles in a UW open access repository. The latter would necessarily involve coordination with many stakeholders in addition to the SEC and Faculty Senate, including the Libraries and multiple levels of the UW administration.

The proposed members of the Scholarly Communication Committee are:

FCR member to be named at the FCR meeting on October 1:

Mark Haselkorn, Technical Communication, and Chair, FCR

Charles Wilkinson, Psychiatry and Behavioral Sciences, and Chair, FCUL

Mark Kot, Applied Mathematics, and FCUL member

Katherine Thornton, graduate student, Asian Languages and Literature, and
GPSS representative to FCUL

Tim Jewell, Libraries Director of Information Resources, Collections and Scholarly
Communication

Mel DeSart, Head, Engineering Library, and Chair, Scholarly Communication Steering
Committee

Richard Wright agreed to serve on this committee as the FCR representative along with Mark Haselkorn.

Approved – unanimously.

6. Old Business

No old business.

7. New Business

No new business.

8. Adjournment

Meeting adjourned at 2:49 PM. *Minutes by Peggy Fanning.*

Present: *Faculty members:* Finrow, Haselkorn, Miller, Roesler, Spieker, Stenkamp, and Wright

President's designee: Lidstrom

Absent: *Ex -Officio members:* Redalje, Rhodes, Foster, Harrington,

Faculty members: Fluharty, Vogt (sabbatical)

Ex-officio members: Barker, Small

Guests: Apurva Jain, Sara Curran (new faculty) Lynne Chronister, Christi Chapman, Peggy Fanning, Asuman Kiyak, Jonathan Nurse (via teleconferencing), Sinh Simmons, and Charles Wilkerson