

University of Washington
Faculty Council on Research
Friday, May 18, 2007
26 Gerberding Hall

Faculty:

Greg Benner, Education, Tacoma
Cathryn Booth-LaForce, Nursing – Chair
David Fluharty, Marine Affairs
Francoise Haeseleer, Ophthalmology
Mark Haselkorn, Technical Communication
Sanjeev Khagram, Evans School of Public Affairs

H. Asuman Kiyak, Dentistry
Gerald Miller, Physics
Ilene Schwartz, Special Education
Ronald Stenkamp, Biological Structure
Daniel Vogt, Forest Resources
Richard Wright, Linguistics

Ex Officio:

Suzette Ashby-Larrabee, PSO Representative
Theresa Barker, GPSS Representative
McKinley Smith, ASUW Representative
David Foster, UWRA Representative

Mary Lidstrom, Vice Provost for Research
David Lovell, Legislative Representative
Nanette Welton, ALUW Representative

Vice Chair Mark Haselkorn called the meeting to order at 10:05 AM

Meeting Synopsis:

1. Call to Order and Approval of Agenda
2. Approve minutes from 20 April 2007 FCR meeting
3. Announcements
4. Requests for Input, Information, and Updates
 - a. Update – Office of Research (Mary Lidstrom, Vice Provost for Research)
 - b. Information: Enterprise Risk Management (V'ella Warren, Vice President, Financial Management)
 - c. Information: SAGE update (Darcy Van Patten, Manager of Strategic Initiatives, Office of Research)
5. Old Business
 - a. Postponed discussion, Research Computing (Mani Soma, Associate Vice Provost for Research, Industry Relations)
6. New Business
7. Adjournment

1. Call to order and approval of agenda

Mark Haselkorn opened and chaired the meeting in the absence of Cathryn Booth-LaForce by asking for the approval of the agenda. Mark explained that two agendas had been sent out to council members. The first one listed Jeff Cheek giving an update of the Human Embryonic Stem Cell Policy, which was changed to Darcy Van Patten giving the council members an update on SAGE. The second agenda was the correct one and was approved.

2. Approve minutes from the 20 April 2007 FCR meeting

The minutes of the April meeting were approved as written.

3. Announcements

Mary Lidstrom announced that NEPTUNE has reached an agreement with Joint Oceanographic Institute (JOI) and was awarded over \$2 million dollars for the first stage, which is the planning stage of an ambitious underwater project to measure volcanoes, currents and other activity of the Northwest coast. The second phase will be the construction phase starting next year for about \$130 million over a six year period. The NEPTUNE system will be measuring changes on the Juan de Fuca Plate. This project is a new direction for the UW and one of the biggest projects that the University has undertaken. This underwater research facility could unlock secrets, help to forecast the weather, and will provide a lot of scientific knowledge to help preserve and manage sea life. You can read more about this on the University home page or in the Seattle Times.

Mark Haselkorn told the council members that the Network of Interdisciplinary Initiatives (NII), which is an affiliation of UW faculty, students and staff who advocate for interdisciplinary (ID) teaching, research and training activities across the University, had recently met with the Provost. You can read the Provost's comments through a wiki. Mark Haselkorn said he would send the URL to council members to review. The NII Working Group met in January to discuss several upcoming initiatives to support interdisciplinary activities on campus, including the possibility of creating an achievement award for students in interdisciplinary programs and undertaking a campus-wide inventory of interdisciplinary initiatives.

4. Request for Input, Information, and Updates

a. Update – Office of Research

Mark called on Mary Lidstrom to give the council members an update from the Office of Research. Mary had no other updates since she just told council members the good news about NEPTUNE, the underwater research facility.

b. Information: Enterprise Risk Management

Mark then called on V'Ella Warren, Vice President in Financial Management, to give the council members an update on risk management. V'Ella handed the presentation on Enterprise Risk Management which went to the Board of Regents in February 2007 and two sample risk maps.

She noted that a couple of years ago when our new President and Provost had arrived, we had a few unfortunate events happen; one in athletics and Medicine and later the IRBs. These events raised the president's concern, and he asked the Dean of Arts and Sciences, David Hodge, and her to suggest alternatives. They researched best practices, contacting other institutions which were doing a good job, did a literature search, examined the state of affairs at the UW, and drafted a white paper.

The University of Washington's (UW's) excellence is reflected in the institution's reputation. Each member of the community benefit from that reputation. If events occur which lead sponsors to conclude that we are not trustworthy stewards; we may lose credibility and resources. To protect our decentralized, collaborative and entrepreneurial culture and ensure the continuing success of researchers, we need to be mindful of best practices in compliance and risk management.

The findings of the Review Committee on Strategic Risk Management showed:

- UW had a long history of managing risk. Throughout the institution are individuals tasked with compliance, audit or risk management. These separate operations are done well, and many engage with an institutional perspective. However, due to the complexity, size and decentralization of the institution, expertise tends to be concentrated around separate and distinct risk areas.
- An expanded role for oversight and regulation is likely in the future.
- Risk and compliance are not formally integrated into strategic conversations.
- Root causes of noncompliance events stem from persistent weaknesses in leadership, organization, culture and knowledge.

Two committees have been formed: Compliance Council to bring together the subject matter experts from across campus and the President's Advisory Committee on Enterprise Risk Management (PACERM).

Mark Haselkorn wanted to know if there was a linkage of faculty and council members.

V'Ella said that there was a link. She consults with the chairs of the Faculty Senate and the Board of Deans as well as student leaders to ensure that there is participation from faculty, deans and students currently. Daniel Luchtel, Vice Chair of the Faculty Senate and Cathryn Booth-LaForce, Chair of the Faculty Council on Research are members of the PACERM.

V'Ella explained that the PACERM has identified key risks for which risk maps are being developed. These maps are being reviewed by the PACERM. At the same time that this orderly process is continuing, the PACERM also discusses emerging issues which arise such as violence in the workplace.

Over time the risk mapping process will become richer and richer as we gather and analyze more data. These risk maps form the basis of a common methodology and language for discussing risk, evaluating the magnitude and likelihood of a risk occurring. The map is flexible and can be used to compare different actions in response to a risk.

Over the next year, the President's Advisory Committee for Compliance and Risk Management (PACERM) will review inaugural risk maps for target high risk areas:

- Data security
- Safety of students
- Global activities
- Clinical billing (not done yet)
- Environmental pollution
- Human subjects

- Post-award research (effort report)

Ann Anderson handles global activities on the administrative side, so if you find pinch point with your global work, let Ann know. Mark Haselkorn commented that Ann Anderson is amazing. V'Ella agreed, but did remind the council members that we are a state institution with limited resources. We all know that our faculty are underpaid, so it shouldn't surprise us that we are carefully developing our ERM approaches by leveraging our existing strengths, filling gaps and adding missing pieces.

There are a variety of things we can do:

- Provide training
- Provide good information
- Make sure you support what you think you support
- Advise Provost in terms of compliance
- New system – what can be interfaced with SAGE
- eFECS /risk maps

There are two things that FCR can do to support the PACERM:

1. Reach out with someone in administration when concerns come up. If they are a global issue, contact Ann Anderson. Any other issues, contact V'Ella Warren.
2. Continued to be involved in the President's Advisory Group.

Sanjeev Khagram said he appreciated how V'Ella framed it, that we need to realize our mission better – and realize that avoiding risk is not the objective, but conducting research and teaching is the objective. ERM is undertaken to ensure that faculty and students are successful at that work.

Mark Haselkorn thanked V'Ella, and assured her that anything that the council members can do, they would be interested in helping.

c. Informaiton: SAGE update

Darcy Van Patten pointed out that many people in the room were part of Sage. Mary Lidstrom and V'Ella Warren are the Executive Sponsors, Mani Soma heads the advisory group and Sue Camber is a member.

Darcy went over the agenda that she would be covering:

- SAGE – under construction
- Recent milestones
- One the horizon
- Benefits to faculty
- Faculty involvement

SAGE is an electronic system to administrator grants electronically. SAGE is still under construction. SAGE is expanding from a system focused on completion of routing of compliance forms become the Grants Management System. The Grants Management

System will upload and route electronic files, create budgets, create sponsors forms, compile Grants.gov applications, and setup and track awards.

Darcy mentioned the recent milestones of SAGE:

- File upload and electronic routing for Grants.gov applications
- Copy existing eGC1 for re-use
- Eliminated 250 word limit on SAGE abstract, so faculty don't need to draft second version
- Build-out of OSP's back-office system to provide foundation for expanding SAGE

The next milestone should be completed in July 2007, which is file upload routing for all application types. Darcy talked a little about these milestones and the benefits. File upload and electronic routing of application materials will save time and energy by eliminating the need to walk paper documents all over campus. The budget module will be a great benefit to faculty, because it will provide item detail and categories, and also pull up payrolls salaries rates and calculate indirect costs.

Getting funding last year was pivotal in expanding SAGE to better support the application process. Having active researchers who understand the process of applying for grants (Provost Wise and Mary Lidstrom, Vice Provost for Research) in key leadership positions has been very beneficial to UW's research community.

On the Horizon:

- Phase 1 of system-2-system with Grants.gov
 - 424R&R + NIH agency specific forms
 - Simple integration with eGC1
 - Submission status available via email or in SAGE
 - Validation for most frequent NIH rules (stop the bounce back!)
- Budget module
 - UW centric budget breakdown (required for financial account setup)
 - Integrate with Grants.gov module (sponsor output)
- Notice to Establish Account (NEA) – pre to post-award hand-off
 - Process efficiencies that improve turn-around on award setup
 - Increased process transparency and communication about status

These improvements will benefit the faculty:

- Support better collaboration on budget and application 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

- Provide better transparency and process notifications (statuses, assignments in OSP and GCA, etc.)

Mark Haselkorn thanked Darcy for the update on SAGE and commented that they have done a very good job.

Professor Sanjeev Khagram it is great to see that you are building bridges instead of hurdles. It is also great to have involved the faculty in the process and surveyed them for their input.

Mark Haselkorn again thanked Darcy and invited her back again and also told Darcy to let the Faculty Council on Research know how they can help in the process.

5. Old Business

a. Postponed discussion, Research Computing

Mani Soma, Associate Vice Provost in the Office of Research, outlined the research computing infrastructure such as the research directions, infrastructure considerations and strategies, and the current status back in February FCR meeting. Research directions indicate large interdisciplinary teams, covering a wide range of topics such as health care, biological systems, environmental initiatives, astronomy and nano-pico-femto computing systems. We need to provide central support for these major research efforts.

Current strategies are to actively consult with faculty (e.g. those working in Neptune and astronomy etc.) and closely cooperate with C&C, Catalyst, ATAC and the new Information Management office. The Office of Research is working to establish the physical computing infrastructure such as space request in the UW towers. The Neptune infrastructure design will be started since initial NSF funding has just been approved.

On another topic, the Researchware faculty team has been working with OR, Catalyst and C&C to provide desktop tools to support research management, similar to what Catalyst has done in developing tools to support classroom teaching. This is an initiative within ATAC.

Ed Lazowska and Mary Lidstrom are working on a special grant from Murdock to help with the infrastructure. We are also working with NIH to help get some support, and we have a request into the legislature on the people pieces.

The research computing resource is operating under a central capacity to link faculty and research and assist researchers and education programs to become productive quicker. Faculty researchers could exploit the system capabilities in their research and enhance the processing power through computational research. Our strategies and current status is to actively consult with faculty, closely cooperate with C&C, Catalyst, ATAC, and the new Information Management Office. We continue to work on proposals to foundation/industry to build hardware / server networks / data centers, along with proposals to federal agencies for NEPTUNE and NEON and the Washington legislature for funding for staff and faculty. The initial research-education seed fundings are under construction.

