

UNIVERSITY OF WASHINGTON, TACOMA
FACULTY ASSEMBLY EXECUTIVE COUNCIL
MONDAY, APRIL 23, 2007
WCG 322

In Attendance: Greg Benner, Donald Chinn, Yonn Dierwechter, Charlie Emlet, Diane Kinder, Bill Kunz, Stern Neill, Julie Nicoletta, Pat Spakes, Marcy Stein, Cathy Tashiro, Alan Wood

Faculty Assembly Assistant: Jamie Kelley

Absent: Ruth Rea

The meeting was called to order at 12:55 p.m.

Meeting Synopsis:

1. Approval of Agenda
2. Approval of Minutes
3. Report from the Chair of Faculty Assembly
4. Scheduling Matrix Committee Assignment
5. Faculty Assembly Budget
6. Review of UWT Grant Procedures
7. Discussion of Schools & Colleges
8. Replacements for EC, Standing Committees, and Faculty Senate for 2007/08
9. Adjournment

1. Approval of the Agenda:

The agenda was approved.

2. Approval of Minutes:

The minutes need a small edit per Diane.

3. Report from the Chair of Faculty Assembly:

A faculty member is needed to serve on the Sloane Committee. If anyone is interested, please contact Marcy.

The LCV survey will be sent out later today, please encourage faculty in your programs to fill it out. Faculty can choose to leave the demographic information blank, if they are concerned about anonymity. This survey contains language pertinent to the UWT

campus. The survey will be up until May 11th.

UWT still needs Faculty Senate members from the Ed/Nurs/SW unit. It is important to note that faculty members cannot serve a second term without a four-year interim period. The Faculty Code changes are going up for a Senate vote this week, and UWT needs representation.

FCAS/SCAP will be discussing criteria for new programs, led by Mike Kalton.

Pat informed the EC that tuition credit will now be available for faculty with children at UWS, UWB & UWT. A new Chancellor has been appointed on the UWB campus. Snohomish/Everett is under development as a new UW campus. The final decision on this will be made by UWS. Tacoma got the funding for the Joy Building, whereas Bothell did not get their next academic building. A Funding Committee will be put together by Ysabel Trinidad and committee members will be needed. A survey will go out to faculty for input prior to summer quarter. The FTE for next year is undetermined at this point, but it looks good thus far.

The May 21st EC meeting is the same day as the Strategic Planning Committee's Town Meeting. The EC may schedule a supplementary meeting due to scheduling conflicts.

4. Scheduling Matrix Committee Assignment:

Jim Coolson is putting together a Scheduling Matrix Committee and needs people from all the programs, but would like strong representation from IAS in particular.

5. Faculty Assembly Budget:

There is money remaining in the Faculty Assembly budget, which will be used for new furniture, carpet, etc. in WCG 309. FA has money for stipends to be paid to faculty who volunteer for committee work on the Schools & Colleges issue, as well as the UWT Handbook changes.

6. Review of UWT Grant Procedures:

The following document was circulated at the meeting and discussed. There has been a policy in place since 2005. Pat mentioned that the Federal Government is auditing universities because work is being done on one grant while researchers are on other grant time. They will be looking for fraud on Federal Grants. One question being raised is how to track activities other than

grant work? Ysobel will be looking into “institutional responsibility.” Beth rushing will handle the revised buyout policy. The proposed policy is in line with current UW policy (1/16th of salary).

There was a movement to adopt the policy as written. There were two abstentions and no votes against adoption.



Managing Non-Grant and Contract Efforts by Grant and Contract Funded Faculty

University of Washington Tacoma Campus Level Policy

The University of Washington Tacoma manages non-grant and contract efforts at the campus level implementing policy supporting Grants Information Memorandum 35. The Office of Sponsored Research, located within Academic Affairs, will manage records of non-grant and contract efforts by grant and contract funded faculty. The Grants Coordinator will maintain all records of non-grant activities.

Identifying Faculty and Reviewing Effort

The UWT campus Grants Coordinator will identify all grant and contract funded faculty who are funded by grants or contracts. On a monthly basis the UWT campus Grants Coordinator will issue time and effort reporting forms to individual faculty members with copies to their Academic Program Directors/Deans. The Grants Coordinator will monitor the reports returned monthly. Because the percent salary may change by quarter with changes in academic quarter faculty assignments, a report will be generated quarterly for designating whether any salary is being charged to non-grant funding. The faculty member will confirm the time allocations and the funded individual's Academic Program Director/Dean will review and sign off on the quarterly report.

Prioritizing Activities

Academic Program Directors/Deans and funded individuals will establish limits and priorities for non-grant activities during the annual review process, in addition to confirming the percentage of time and effort to be allocated to any grant funding. When grant funding begins between annual reviews, the Academic Program Director/Dean and funded faculty member will meet and establish priorities and the amount of activity for non-grant activities for the period remaining prior to the annual review. The levels for non-grant activities will be reviewed by the Academic Program Director/Dean quarterly when reviewing the quarterly time and effort reports.

Funding Source

The funding for non-grant activities will come from institutional resources administered by the University of Washington Tacoma campus.

Timelines

This policy and the implementing procedures were developed and implemented by July 1, 2007. The announcement of the policy and implementing procedures was made to the programs and faculty on April 27, 2007. If the policy or procedures are revised program and faculty will receive notification prior to the implementation of the change.

GIM 35 Effort Reporting Policy for Sponsored Agreements

UNIVERSITY OF WASHINGTON

Office of Research
Office of Sponsored Programs

GRANTS INFORMATION MEMORANDUM 35

December 1, 2005

SUBJECT: Effort Reporting Policy for Sponsored Agreements

RELATED INFORMATION: [GIM 1](#) (proposal development)

Effort Certification

Faculty Effort Certifications (FECs) are quarterly or semi-annual reports designed to track the effort of faculty who have been paid from and/or committed to sponsored project effort. A faculty member receives an FEC if he or she is paid by the University of Washington and

- Performs effort paid on federal and/or non-federal sponsored projects;
- And/or performs cost sharing on federal and/or non-federal sponsored projects.

The purpose of the FEC is to certify that the pay was a reasonable reflection of effort. Certification of faculty effort is required by the Office of Management and Budget (OMB) Circular A-21, Cost Principles for Educational Institutions.

Non-faculty personnel, such as professional staff, senior fellows, and lab technicians do not receive FECs. Their effort is reported on monthly Grant and Contract Certification Reports (also known as Payroll Certification Reports) or as otherwise agreed to by the University.

What is Faculty Effort?

For the purposes of sponsored agreements, faculty effort is the time faculty spend on their university activities, including research, instruction, administration, service and clinical activity.

What is Institutional Base Salary (IBS)?

Institutional base salary is the annual compensation paid by the University of Washington for an employee's appointment, whether that individual's time is spent on research, instruction, administration, service or clinical activity. Institutional base salary excludes any income that an individual is permitted to earn outside of duties for the University of Washington.

This chart identifies the salary sources and components considered part of the UW IBS. Harborview Medical Center (Harborview) is operated and managed by the UW. Salary support funded by Harborview is considered part of the UW IBS, and time spent at Harborview is included in the faculty work week for effort reporting. Similarly, salary support funded by UW Medical Center (UWMC) or Seattle Cancer Care Alliance (SCCA) is considered part of the UW IBS, and time spent at UWMC or SCCA is included in the faculty work week for effort reporting.

IBS includes salary from:	IBS excludes compensation from:
Salary Sources	
<ul style="list-style-type: none"> • State • Grants and Contracts • Gifts and Endowments • Other UW funds <i>Including local funds and departmental clinical salary paid through the UW system</i> • Clinical Practice Plan Salary <i>Direct salary paid by: UW Physicians (UWP) & Children's University Medical Group (CUMG)</i> 	<ul style="list-style-type: none"> • Veterans Administration Medical Center (VAMC)* • Children's Hospital Regional Medical Center (CHRMC) * • Fred Hutchinson Cancer Research Center (FHCRC) * • Outside Professional Work
Salary Components	
<ul style="list-style-type: none"> • Regular Salary (including A/B Salary) 	<ul style="list-style-type: none"> • <u>Excess Compensation</u>(E/C) • <u>Temporary Supplement</u>(TPS)

<ul style="list-style-type: none"> • Summer Salary • Paid Professional Leave • Salary for Retired Faculty • <u>Administrative Supplements</u> (ADS) • Endowed Supplement (ENS) 	<ul style="list-style-type: none"> • Clinical Practice Plan Incentive <i>Production based incentive</i> • Monthly Additional Compensation (MAC) & Semi-Annual Additional Compensation (SAAC) <i>Clinical Practice Plan Guaranteed Additional Compensation</i> • Dental Clinical Practice Plan Incentive
--	---

* Paid direct by those organizations

Faculty Work Week

A faculty work week is the average number of hours a faculty member normally works during a week. Hours are to be averaged over the effort reporting period. For many faculty this number will vary from one week to another.

As an example, if within an effort reporting period, a faculty member were to work half 60-hour weeks and half 40-hour weeks, his/her average work week would be 50 hours. Hours are averaged over 13 weeks for quarterly effort reporting and six months (two calendar quarters) for semi-annual reporting.

Distribution of effort

Use of the UW IBS and average faculty work week are necessary in proposing, charging, and certifying effort. The total UW IBS must be distributed across all of a faculty member's university research, instruction, administration, service and/or clinical activities. This requirement may not be avoided by characterizing true UW activities such as proposal writing, instruction, university-related administrative duties, service or clinical activities as "unfunded" or "volunteer" activity for which no UW salary is paid.

Proposal Preparation: The full uncapped IBS is to be included in the "Institutional Base Salary" section of proposals. The "Requested Salary" is based on the lower of the applicable salary cap or the UW IBS at the appropriate level of effort.

Charging salaries: Salaries should be charged to sponsored projects by determining the percentage of the faculty member's average work week devoted to the project and charging no more than that percentage of the faculty member's UW IBS to the sponsored project. Charging less than the percentage worked is allowable (but discouraged per GIM 21, Cost Sharing for Sponsored Agreements) and is recorded as cost sharing if it was committed to the sponsor in the proposal.

Certifying effort: On the faculty effort certification form, faculty certify to their grant effort (both paid and committed) as a percentage of total University effort.

Faculty generally have responsibilities for such activities as non-sponsored research, instruction, administration, service or clinical activity that would preclude their devoting 100% effort to sponsored activities. Proposal preparation for new and competing renewals would also preclude faculty from devoting 100% time to research. Accordingly, faculty, department administrators, and department chairs should assure each reporting period, including summer for those on a quarterly reporting period, that there are no other activities required of the faculty member that would reduce the effort available for sponsored activities during that period. Salary support for teaching, administration, service, clinical activity, institutional governance and proposal preparation effort must come from non-sponsored funds (see note below), except for normal scholarly activity during summer time outside of the main nine-month Academic year and sponsored projects specifically awarded for those purposes.

Although all university activities must be included in a faculty member's effort for reporting purposes, not all of a faculty member's professional activities must necessarily be considered university activities. For example, outside professional work and volunteer community or public service are types of activity that would normally be deemed non-university activities. Interdepartmental consulting for which supplemental compensation is paid and service on review panels or other advisory activities for federal sponsors that include an honorarium and/or travel reimbursement are also considered outside of total effort. Activities other than instruction, administration, service, clinical activity, and proposal writing that, in the reasonable judgment of the faculty member, in consultation with the chair (or designee) in accordance with 24-57(c) of the University Handbook, are "over and above" and separate from his or her assigned university responsibilities, may also be excluded from effort for reporting and salary allocation purposes.

Note: The policies stated above are based on the usual and customary circumstances. Unusual circumstances may arise in which special treatment of a particular activity may be warranted, but such special treatment should be approved in writing in advance by the Provost or designee.

Faculty partially without salary (WOS): From time to time a faculty member may become partially or fully without salary ("WOS") due, for example, to loss of sponsor funding. If a loss of sponsor funding occurs, the faculty member will need to determine how to approach his/her total UW effort. In some instances, although receiving less than his/her base salary, a faculty member may elect to continue working at the same total level of effort as s/he was working prior to the WOS status, distributing the time to other remaining funded activities. In other instances the faculty member may elect to reduce his/her effort to a level commensurate with the reduced salary. It is critical that faculty work with their department administrative staff to understand, in advance, the impacts on effort and salary distributions resulting from the option chosen

Whatever option is selected, faculty paid from or having committed effort on sponsored projects, who are partially WOS must assure the percentage of their adjusted salary (and related fringe benefits) charged to sponsored projects continues to be proportionate to the effort expended on those projects as a percentage of total UW effort. This requirement

may not be avoided by characterizing true UW activities such as proposal writing, university-related administrative duties, instruction, service or clinical activities as “unfunded” or “volunteer” activity for which no UW salary is paid.

Options when a faculty member has a potential for WOS include :

- Continue to contribute the same level of effort on grants, but move effort and salary to other funded projects or obtain bridge funding. For example, a faculty member who was working 60% on Grant A (\$60,000 salary) and 40% on Grant B (\$40,000 salary), might switch to 100% effort to Grant A when Grant B ends. Funding 100% of their salary (\$100,000) from Grant A might be possible. Funding an additional 20% from Grant A (for \$80,000 total) and 20% (\$20,000) from departmental bridge funds, for example, might also be possible.

To the extent the faculty member is unable to redistribute the salary to other funded projects or obtain bridge funding and remains partially WOS, then either the action described in Option 2) or Option 3) below are necessary;

- Faculty member is placed in a WOS status for a portion of his/her salary but continues to spend the same amount of total time on university activities, devoting the entire time to remaining funded activities and, when necessary, redistributes salary to reflect effort. For example, a faculty member who was working 60% on Grant A (\$60,000 salary) and 40% on Grant B (\$40,000 salary), might spend the same total amount of time on grants, but spend it all on Grant A. Grant A, in this example, is unable to fund any of the faculty member’s salary, so the faculty member is paid \$60,000 from Grant A and is \$40,000 WOS. This is an appropriate charge to the grant because 100% of remaining activity is on Grant A and 100% of the remaining pay is on Grant A; or
- Faculty member is placed in a WOS status for a portion of his/her salary and faculty member reduces his or her total time on university activities commensurate with the reduced funding so there is no uncompensated effort and, when necessary, redistributes salary to reflect effort. For example, a faculty member who was working 60% on Grant A (\$60,000 salary) and 40% on Grant B (\$40,000 salary), might have been working 50 hours per week. When Grant B ends, the faculty member reduces work hours to 30 hours and devotes all of those hours to Grant A. Grant A, in this example, is unable to fund any of the faculty member’s additional salary, so the faculty member is paid \$60,000 from Grant A and is \$40,000 WOS. This is an appropriate charge to the grant because 100% of the remaining activity is on Grant A.

Where a faculty member’s appointment is defined in terms of a time period (as in the case of nine-month faculty), total UW effort would normally include only UW activities engaged in during that time period.

Change in Level of Effort

OMB Circular A-110 requires grantees to obtain the sponsoring agency's approval in writing if the PI or key personnel specifically named in the Notice of Grant Award (NGA) will :

- Withdraw from the project entirely;
- Be absent from the project during any continuous period of 3 months or more; or
- Reduce time devoted to the project, by 25 percent or more, from the level approved at the time of award.

This rule applies to all federal grants unless waived in writing by the sponsor.

The sponsoring agency must approve any alternative arrangement proposed by the grantee, including any replacement of the PI or key personnel named in the NGA.

Note: The key personnel named in the NGA may differ from key personnel identified by the University in the proposal.

The effort commitment (both paid by the sponsor and paid by the University) at the time the award is issued is considered the threshold against which reductions of 25% or more need to be requested and approved. In order to be in compliance, the PI should compare the original commitment in the award document against actual grant effort on the Faculty Effort Certification form.

7. Discussion about Schools and Colleges:

Many questions were raised in the last discussion about Schools and Colleges on April 10, including:

- What are the responsibilities of Schools and Colleges?
- What are the assumptions about Schools and Colleges?
- How does this affect Joint Accreditation?
- How does a system of Schools and Colleges help faculty?
- How does this work on other campuses?
- What issues are at the program level, and what issues are at the campus level?
- What is the future of IAS? IT?

An Ad Hoc committee will be formed by Julie to work on this issue. The committee will submit a package/proposal to Pat by June. Beth Rushing would like to participate in this process as well. The committee will report to Pat, and Pat will report to Beth. We have funding for this committee until June 30th, but it was suggested that the committee meet throughout the summer to avoid a "summer snooker." Faculty members who are not teaching this

summer would be good candidates for this committee. Marcy or Julie will speak to the Program Directors about this, enabling the faculty and directors to weigh in on this separately.

Accreditation is a concern in this discussion. Seattle would like UWT to submit a model for three Schools & Colleges, however, Pat feels that we push for four instead. Our schools should be as At least as large as their small Schools (ie: Forestry) The faculty need to determine what UWT aspires to be as a campus. Per Norm Rose, UWT should estimate the growth and demand of the campus along with projected FTE's.

The faculty feel that in the past, this process has not involved them but has been something "done to them." The charge of the Ad-Hoc committee will be to keep communication open between Alan, Pat, Beth and faculty to prevent rumors and misinformation. It is extremely important that people think outside their respective programs on this issue. Using this language on our campus will mean more universally for UWT. Typically, on most campuses, School means Professional School and College means Liberal arts College. UW, however, has Schools within the Colleges. Alan stressed the importance of taking community needs and interests into consideration. The EC members will discuss this with their programs to keep them apprised as we move along. Charlie asked if the departments will be allowed to grow at their own pace, because he is apprehensive about decisions being made too quickly. Pat implores us to think creatively about this process, because we will be unable to reverse the decision once it has been made.

Schools and Colleges will be the main topic for discussion at the upcoming Faculty assembly meeting on May 3rd.

8. Replacements for EC, Standing Committees, and Faculty Senate for 2007/2008:

We still need recommendations for committee replacements from some programs.

9. Adjournment:

The meeting was adjourned at 2:10pm