

Faculty Assembly Executive Council (EC) Meeting Minutes

November 16, 2018 / 1:00 – 3:00 p.m.
GWP 320 – Dawn Lucien Board Room

Present: Menaka Abraham, Loly Alcaide Ramirez, Michelle Garner, Marian Harris, Rupinder Jindal, Jill Purdy, Eugene Sivadas, Arindam Tripathy, Justin Wadland, Ka Yee Yeung-Rhee (**Attending Remotely**): Kathy Beaudoin, Katie Haerling, Sushil Oswal **Excused:** Nicole Blair, Leighann Chaffee, D.C. Grant, Sarah Hampson, Danica Miller, Ali Modarres, Lauren Montgomery, Mark Pagano, Mark Pendras, Jenny Sheng, Etga Ugur **Absent:** Charles Costarella, **Guests:** Wes Lloyd, Turan Kayaoglu, Marisa Petrich

1) Consent Agenda & Recording Permission, Approval of Minutes

- Due to lack of quorum, voting approval of minutes for 10/29/18 was postponed until the 11/30/18 meeting.
- Consent for approval of agenda and recording of the 11/16/18 meeting was given by members present.

2) Announcements

- Chancellor Listening Sessions:
February 15, 2019/ 12:30-1:30 p.m./Non-tenure track/ WCG 322
May 10, 2019/12:30-1:30 p.m./ Combined/WCG 322
- Faculty Senate Vote Update
Two faculty members, Mohamed Ali and Ankur Suri, were elected to fill the Faculty Senate vacancies with end of term in 2019.
Reminder: In January 2019, we will hold elections for 6 new members and will need nominees.
Senate report will be given in winter and spring.
- Food Pantry Drive
Pantry Drive will be from November 13 – December 13, 2018. This will be a competition between Faculty/Staff versus Students. **Please announce this pantry drive at unit faculty meetings.** “UW Pantry Fund” can be added to combined fund withdrawals in place of food donations. Faculty can also donate by check (please make checks payable to “UWT Pantry Fund”).
- Academic Plan Policy Draft **(Appendix A)**
This will be on the Executive Council agenda for 11/30/18. This is an important document that will shape the future direction of academic plans on the UWT campus. Executive Council members are asked to review this policy draft in Appendix A and to solicit feedback from faculty members in their academic units.

3) EVCAA Report

- Unit Adjustments
 1. Instead of merit pay for the past 2 years, the university authorized unit level adjustments designated to address compression for faculty. Equity issues were also considered.
 2. The Chancellor set aside 1% of all salaries, roughly \$220,000.00. Last year approximately \$175,000.00 of those funds were allocated to address for



- compression, focusing largely on faculty who had been in their jobs for some time and were dealing with the impact of a change in the percentage rate (7% to 10%) for salary increases for promotions resulting from a change in policy.
3. Addressing all of the compression issues identified last year (compression can be reviewed annually), a decision was made to retain the remaining pool to make another adjustment for this year amounting to \$49,000.00.
 4. UWT intended to submit compression adjustments to Seattle on 11/1/18 for the adjustment to go into effect in February of 2019, but Seattle has moved to a single process this year, rather than multiple cycles. Unit adjustment work to salaries of those compressed will now be submitted on 1/9/19 for review by the UW Senate Planning and Budget Committee, before being sent to the Provost for approval. After approval by the Provost, these adjustments will go into effect 4/1/19.
 5. The Director of Academic Personnel, Casey Byrne, and Executive Vice Chancellor for Academic Affairs, Jill Purdy were primarily responsible for collecting the data and creating the proposal using the criteria previously developed by the Executive Council. These proposed adjustments were reviewed by Deans and Directors, Executive Council Chair and Vice Chair and are now ready for submission.
 6. Faculty members who are affected by these adjustments will be notified after the Provost approves proposals.
- Seattle Enrollment
 1. The Enrollment Management group has been working on enrollment issues. More than half of admitted students at UW Seattle are interested in engineering or business majors, making it difficult to get into those required classes, sometimes forcing students to make adjustments to their majors. Students are not always happy with their 2nd major choice. Seattle is now considering a “Direct to the Major” process for all freshman. If adopted, students submitting applications to UW Seattle would apply listing their top few majors; essentially applying to both the university and their desired major at the same time. Currently the admissions process favors students tracking to STEM and medical majors. Adopting this process would revise the admissions criteria and selection process - students who didn’t take chemistry but excelled in writing and history could actually be more favored than in the past. This process could bring a rebalance to Seattle admissions and limit the number of STEM admissions; this could cause a rebalance of Tacoma student admissions as well. Tacoma does use a different process for admission than Seattle, adopting a more holistic approach to admission rather than just relying on standardized test scores and is not tied to using Seattle admission processes. Currently, the Milgard School of Business is the only school that admits freshman students directly to their major.
 - Online and Hybrid Courses.
 1. Increasing evidence shows that online courses are crucial to student completion and retention. When challenges arise, particularly with undergraduate students, the flexibility that on-line courses provide can make the difference between



graduating and failing. Academic quality needs to be maintained; online course work will not work for all courses.

There is strength in face to face classroom settings, but integrating technology to meet student expectations and comfort level would give them the flexibility they need. These must involve faculty level decisions depending on the curriculum in academic units.

4. **Winter Reports 2019: Spreadsheet Sign-Up**

- A reminder that Executive Council is requesting unit reports in the 2019 winter and spring quarters and members present were asked to select times on the spreadsheet for their unit review in both winter and spring. A written copy of the 2019 winter quarter report is due for submission at the January 11, 2019 meeting. The reports must include the following information:
 1. Description of the budget process and participants involved in this process.
 2. Description of Faculty Council and its role in the budget process.
 3. Process for disseminating budget information to faculty.
 4. Description of annual merit review process and the criteria utilized to determine merit classification i.e. meritorious, non-meritorious. Are units adhering to Faculty Code i.e. utilizing classification of extra-meritorious?
 5. Some units have been designating the extra meritorious status; this is a violation of the faculty code. Members were told to communicate with their unit deans and directors and faculty to stop this practice. Jill Purdy will communicate this information to deans and directors at the November 30, 2018 meeting of the Council of Deans and Directors.
 6. Note the work on race, equity, inclusion and diversity that has been implemented in your unit. If no work has been implemented it is important to make a statement to that effect.
 7. Should the UWT Library be included in the unit reports?" This question was raised during the meeting. The committee decided that the UWT Library should sign up for unit reports as well.
 8. Members of Executive Council who did not sign up for report presentation dates for both winter and spring at the 11/16/18 meeting will be asked to select dates on the spreadsheet posted on the Executive Council Google drive.
 9. The focus for the spring quarter reports will be discussed at the beginning of winter quarter.
 10. Due to size, the School of Interdisciplinary Arts and Sciences was asked to sign up for 2 report sessions each quarter.

5) **Staff Association**

- Staff Association members were unable to attend the 11/16/18 meeting.

6) **Indirect Cost Recovery (ICR) Policy** **(Appendix B)**

- Turan Kayaoglu, Associate Vice Chancellor for Research, addressed the Executive Council regarding revision to the Indirect Cost Recovery (ICR) policy. The current policy is dated 6/11/2009 and is not implemented as written. The revision of this campus wide policy (see Appendix B) will go into effect July 1, 2019. ICR funds help cover administration costs related to research and grants.
- Currently, with regard to UW Tacoma research projects, the UW Seattle Office of Sponsored Research takes one third of these funds; two thirds is returned to UW Tacoma



and UWT administration allocates 20% of the returned ICR funds to the academic unit connected to the awarded grant or contract.

- There are primarily 3 ways research is sponsored:
 1. Corporation foundations
 2. Service contracts: a private agency may ask for help from UW researchers
 3. Sponsored research- this policy is only applicable to sponsored research
- Under the current draft of the ICR policy in Appendix B, academic units will be responsible to develop their own ICR allocation policies and submit them to the Executive Vice Chancellor for Academic Affairs for review and approval, ensuring consistency with UW Tacoma overarching policy. Executive Council members questioned why academic units would be tasked to develop a policy to decide how they will allocate those funds within their units, rather than a campus-wide policy stipulating that the Principal Investigators (PIs) receive a percentage of indirect costs. Turan responded that it was felt the schools and programs are too different to fall under one policy and it would be best to develop policy at the academic unit level.
- Currently, there is some concern over the lack of transparency of these funds.
- This proposed policy will be presented to Deans and Directors in December, then will be reviewed at the Vice Chancellor level.
- Executive Council Chair Ka Yee Yeung-Rhee asked to share the ICR information with unit representatives and get feedback on the proposed policy, noting transparency and consistency regarding ICR funds is something faculty members struggle with; a policy for this would be very helpful.
- Executive Council members will ask Turan to return to Executive Council after there is feedback from all the units.

7) **UW Open Access (OA) Policy**

- Executive Council members had previously been asked to review a video outlining details of the Open Access Policy. Justin Wadland and Marisa Petrich presented selected slides from this video to Executive Council regarding the Open Access Policy. Executive Council thanked Justin and Marisa for the video which outlined how the access to scholarly records will work and affect faculty in Tacoma.
- The UW Tacoma library has been working to promote open access on campus before this policy with Digital Commons. This policy will make the libraries' work easier. Over fifty universities have passed similar open access policies. UW is now following this national trend.
- This policy will apply to scholarly peer reviewed journal articles and conference proceedings, granting the University the right to share those articles in an open access repository.
- Faculty will have the option to request to "opt out" and this waiver request will be automatically granted.
- Three ways to share work under the OA Policy include:
 1. UW open access repository
 2. Deposit in a disciplinary-specific public repository
 3. Publish in an open access journal
- The policy was passed by a class B legislation in the UW Senate in Spring 2018, but there is no effective date as of yet. Executive Council suggested letting individual units

and schools pick their own implementation dates;

Justin will take this idea to the next Implementation meeting.

- This Open Access policy is not retroactive.
- The Open Access policy would not change copyrights, but will enable faculty to have more flexibility on sharing work with students.
- The UWT library is looking for feedback from faculty in order to help develop a system for streamlining this process with faculty. Feedback being sought includes: Are faculty aware of the OA policy? Do they understand what it is about? Do they have questions? What's the best workflow for faculty?
- In an effort to bring awareness of this policy, Executive Council will send an email to UWT faculty encouraging them to watch the video. Unit reps are encouraged to discuss the policy in faculty meetings.

8) **Key Topics**

- No quorum on 11/16, approval of 10/29/18 minutes will be done at the 11/30/18 meeting.
- Chancellor Listening Sessions:
February 15, 2019/ 12:30-1:30 p.m./Non-tenure track/ WCG 322 / May 10, 2019/12:30-1:30 p.m./ Combined/WCG 322
Food Pantry: Students versus Faculty 11/12/18-12/13/18. Please donate items for the Food Pantry; donations can also be made through the combined campaign via cash or check (please make checks payable to “**UWT Pantry Fund**”).
- Unit Reports: Sign-up sheet was passed at the meeting and is also available on the Executive Council Google drive. Reports will be submitted to Executive Council from unit representatives during the 2019 winter and spring quarters. Reports will include the following information:
 1. Description of budget process and participants involved in this process.
 2. Description of Faculty Council and its role in budget process
 3. Process for disseminating budget and budget information to faculty.
 4. Description of annual merit review process and criteria utilized to determine merit classification i.e. meritorious, non-meritorious.
 5. Note race, equity and inclusion and diversity work that has been implemented in unit. If no work has been implemented provide a statement to this effect.
 6. For the winter quarterly report, Executive Council is particularly interested in the budget and merit review process.
- EVCAA Report:
 1. Seattle campus admission policies may impact Tacoma- something to think about in future policies.
 2. Unit level adjustments.
- Indirect Cost Recovery Policy
- Open Access Policy at UW
- Review Academic Plan Policy

9) **Adjournment**

- The meeting adjourned at 3:00 p.m. The next meeting of Executive Council will be Friday, November 30, 2018 from 1-3 p.m. in GWP 320.

Appendix A:

*Academic Plan Policy - **DRAFT***
UW Tacoma Executive Council, November 2018

Rationale:

The faculty and administration of the UW Tacoma recognize the need for a comprehensive academic planning process to guide the future development of our campus. It is important to balance continuing improvement of our academic work with its growth and development. The process is rooted in shared governance and fulfills the requirements of the UW Tacoma By-Laws. The content of academic programs is determined by the faculty, with approval of administrative leaders both in Tacoma and Seattle. An initial, limited academic plan, undertaken in 2017/18, allowed us to pilot the process and helped determine the framework for this policy.

Planning Team and Leader:

The planning team will consist of the Faculty Assembly Chair and Vice Chair, the EVCAA and the Chair of the Council of Deans/Directors. These four people will collaborate in each two-year planning process. The EVCAA will lead the planning process ensuring timely meetings, collaboration with faculty, the VCFA and Deans/Directors as well as due process.

Scope:

The scope of each academic plan is the entire academic enterprise of the campus. It includes all academic offerings, including: minors, certificates and other non-degree academic programs and related scholarly activities and initiatives.

The first year of the planning process will entail an *assessment* of these areas and the second year a *plan* for the next five years of operation, improvement and growth. Campus-wide plans for new and significant changes to academic offerings will be based on proposals (Proposed Notice of Intent or PNOI) submitted by each unit at the start of the second year.

Decision Authority:

The UW Tacoma Academic Policy and Curriculum Committee, APCC, will review all the PNOI's in each planning cycle simultaneously, and make a recommendation to the Faculty Assembly Executive Council for programs to go forward and develop full 1503 proposals. (In the first plan cycle, there will be two due dates for PNOIs, one in autumn quarter and one in winter quarter to accommodate more recently initiated programs.) The APCC deliberations will be informed by campus budget projections provided by the VCFA and this faculty body will consider resource impact during their review process. Further approvals of the 1503's will occur as established in the curriculum development process, with subsequent approvals from unit faculty, Deans/Directors, APCC, EVCAA, EBC, UW President (undergraduate programs) and UW Regents (graduate programs).

Workload

During planning years, the campus faculty, staff and administration, and especially APCC, EC and the planning team members will have added responsibilities relative to non-planning years. However, the EVCAA and her/his office will incur the greatest increase in workload.

Monitoring of Academic Plan

An annual review of the academic plan will be conducted by the EVCAA to monitor and adjust to changing circumstances within and outside of our campus. Proposals for adding a new program (degrees,

minors, and certificates) outside the proposed cycle of academic planning should provide justification explaining how a delay would negatively affect the success of the program. These will be reviewed annually by the EVCAA and EC.

Criteria for New Program Assessment

To assess new program PNOI’s, APCC will use the four, unranked criteria developed during Plan 1, or those added, deleted or changed through Class C legislation in Executive Council. The four criteria are:

- *Alignment with Strategic Plan
- *Campus-wide Balance of Academic Disciplines and Programs - building on our existing expertise and interdisciplinary emphasis
- *Community/Student/Market demand and impact
- *Resource Impact

Program Changes

Program change plans and resource requests will be collected in every planning cycle, in addition to new program proposals. The resource requests will be included in the Executive Budget Committee considerations and prioritized by that body for allocation of resources. The intention is to promote ongoing refinement and improvement of our academic offerings.

Unit Faculty Responsibilities:

Faculty in each unit will be responsible for the program reviews within their unit, submitting the documents on time, including the PNOI’s for new programs and program changes.

Unit Faculty/Dean/Director Accountability:

Units will be accountable for the operation of their academic programs once launched. Management of student enrollment and faculty numbers is the responsibility of the unit and significant departures from planned numbers, either up or down, will need to be addressed in the next planning cycle.

Plan Schedule:

The Academic Planning process will occur over two years, with a five-year implementation period. (See Table 1 below.) Planning for the next cycle will occur in the last two years of the previous one. Thus, planning activities will occur for two years followed by a three-year interim period. (The first plan was more limited and occurred in one year followed by a four-year implementation period.)

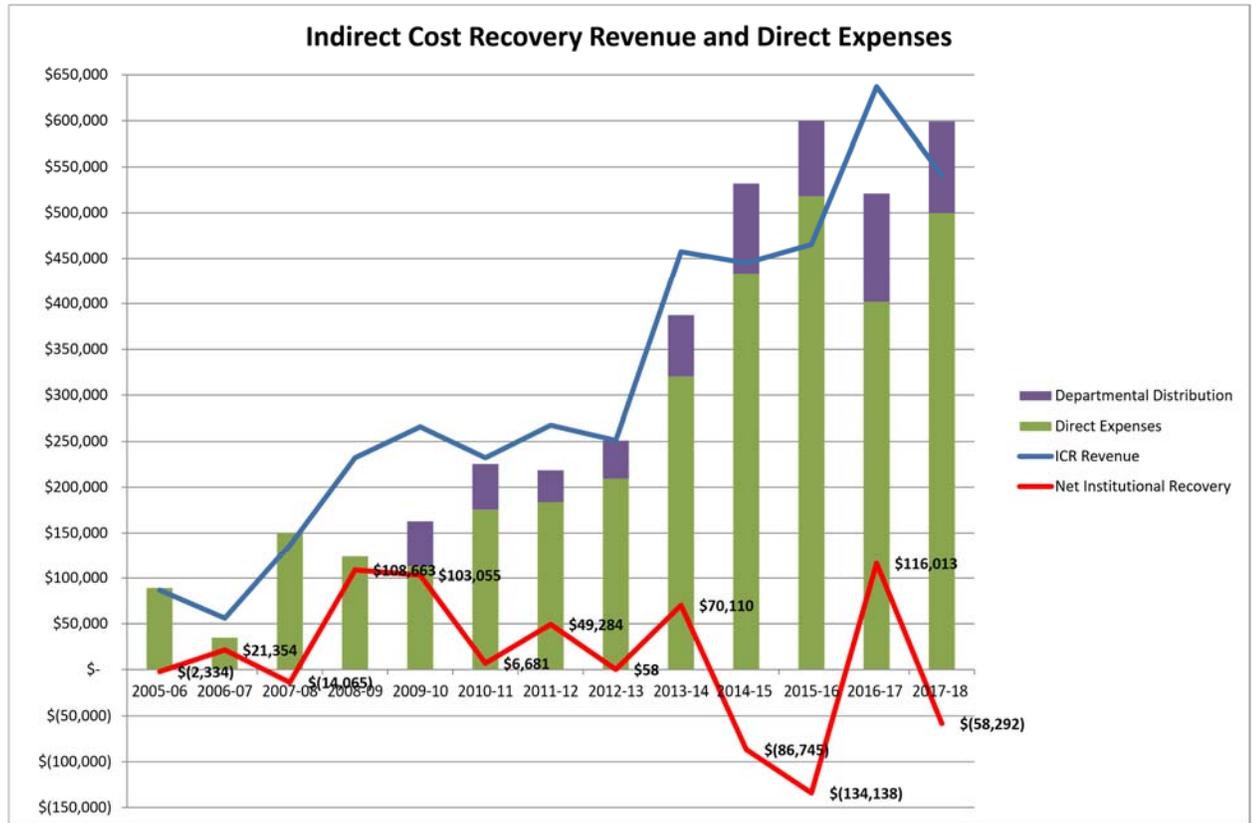
Table 1. – Timeline for UW Tacoma academic planning cycles.

	2017	'18	'19	'20	'21	'22	'23	'24	'25	'26	'27
Plan 1											
(Pilot)				Plan 2	Plan 2						
										Plan 3	Plan 3

Policy Changes

This policy can be changed using the rules for Class B legislation as stated in the UW Tacoma By-Laws.

Appendix B:



UNIVERSITY of WASHINGTON TACOMA
INDIRECT COST RECOVERY ALLOCATION POLICY
(Draft, November 7, 2018)

This policy revises and updates the old policy dated 6/11/09. The UW Tacoma Office of Academic Affairs and Office of Research in coordination with Finance and Administrative Services are responsible for the implementation of this policy.

This policy will go into effect on July 1, 2019 (start of FY 2020) covering Indirects (also called Overhead or Finance and Administration costs (F&A)) that are collected on sponsored grants or contracts from the previous fiscal year; that is, Indirects collected between July 1, 2018 through June 30, 2019.

This is a campus wide policy. It is the responsibility of academic units to develop their internal Indirect Cost Recovery (ICR) allocation policies and submit their unit-specific policy to the Executive Vice

Chancellor for Academic Affairs (EVCAA) for review and approval, thus ensuring consistency with this overarching UW Tacoma policy. If a current unit-specific policy is not on file with the EVCAA office by July 1, 2019, it will be up to the discretion of EVCAA to withhold the academic unit's ICR allocation. If an academic unit houses a Research Center, its policy should specify flow of ICR funds to the Center and the role that the Center's Director holds in administering these funds to the Center's Principal Investigator(s) (PIs), as appropriate.

This policy covers sponsored research funding in which a proposal was submitted via and a contract was negotiated by the UW Office of Sponsored Research. The policy does not cover other types of funding, including gifts and service contracts, that might be tied to faculty scholarship and for which overhead may be collected.

Policy Statement

A percentage of ICR funds returned to UW Tacoma from UW Seattle's Office of Planning and Budgeting will be distributed to units to be used as per the written policy adopted within each unit. Each unit is responsible for submitting their specific policy to the EVCAA for review and file by July 1, 2019.

Background Information and Details

ICR funds are the primary source of revenue that enable UW Tacoma to provide campus wide research support. Thus, all UW Tacoma eligible PIs (see UW Tacoma PI policy for eligibility) are required to submit all grant proposals through their home academic unit at the UW Tacoma. Under exceptional circumstances, a faculty member with an appointment within another academic unit at UW Seattle or UW Bothell, such as an adjunct appointment, may petition the Executive Vice Chancellor for Academic Affairs in writing to submit a proposal through that other academic unit. The EVCAA will make a decision within 15 days of receiving the request and share the decision with the faculty member, Associate Vice Chancellor for Research (AVC-Research), and the academic head of the faculty member's home unit. It is understood that if the faculty member submits a proposal through an academic unit outside of UW Tacoma, UW Tacoma and the faculty member's home unit are not responsible for administering the award and are forfeiting any ICR funds associated with a potential award.

ICR funds collected by UW are generally intended to cover certain finance and administrative costs related to research activities that cannot be itemized on a research budget. These costs might include building maintenance and materials, libraries, and centralized administrative costs of managing grants and contracts, such as the Office of Sponsored Programs (OSP), Grant and Contract Accounting (GCA), and Human Subjects Division (HSD) (i.e. Institutional Review Board). Because the [University's full F&A rates](#) are negotiated and approved in advance by the Department of Health and Human Services (DHHS) on an annual basis, sponsoring funding agencies do not require reporting about how the returned ICR funds are allocated once distributed to specific campuses and then units.

After the close of the fiscal year, UW Seattle Office of Planning and Budgeting notifies UW Tacoma's Finance and Administrative Services Office of the total ICR funds earned on sponsored grants or contracts awarded to UW Tacoma (i.e. awards tied to a UW Tacoma organization code). From the total earned, UW Seattle retains approximately one-third of the ICR funds for centralized sponsored research support and libraries, as stated above. The remaining two-thirds is distributed to UW Tacoma. Of this returned amount, 20% of ICR funds from a specific grant or contract are then distributed to the unit whose organization code is tied to that award. The remaining ICR funds that are returned to UW Tacoma are used to support Office of Research operations and programming. These funds are distributed into the Office of Research 75- budget.

Individual academic units are responsible for developing their own unit-specific policies for how their 20% ICR funds for a given grant or contract are allocated within their unit to facilitate research efforts. As a campus, we strongly encourage academic units to consider a policy where ICR allocation within the unit returns a meaningful portion of the recovered monies back to the PI(s) of the respective grant or contract. This provides a monetary incentive that tangibly rewards PI success and supports their pursuit for external funding, thus supporting the mission of UW Tacoma.

It is important to note that ICR funds should be used for two primary purposes: 1) to ensure the success of the funded projects that generated the overhead money in the first place; and 2) as "seed money" that fuels the development of research activities, thus promoting an increase in future generation of sponsored programs and returned ICR funds to this campus.

Procedures of ICR Distribution

1. Annually after the closing of a fiscal year, UW Seattle's Office of Planning and Budgeting returns about two-thirds of collected ICR to UW Tacoma as ICR funds. These ICR funds are returned to UW Tacoma's Finance and Administrative Services office (Finance).
2. If ICR funds generated from a grant and contract that carries a UW approved, federally negotiated F&A rate in the year the grant was written, UW Tacoma Finance then distributes 20% of the ICR funds to the respective academic unit's research cost recovery 75- budget. UW federally negotiated F&A rates vary depending on the type of sponsored activity. For example, an on-campus organized research activity may hold a different full F&A rate than a professional development or another on-campus sponsored activity. If the full negotiated F&A rate for that particular activity is collected, then Finance will distribute 20% of the ICR funds to the academic unit.
3. If ICR funds are generated from a grant and contract that carries *less than the full F&A rate for the particular activity*, then the amount of ICR funds returned to the academic unit will be zero. For example, Dr. X responds to a request for proposals (RFP) to conduct professional development in a school district. The RFP limits the amount of overhead that can be included in the budget to 10% of direct costs. The University and the Office of Sponsored Programs will accept this limitation since it

is specified in the RFP in recognition that it is less than the federally negotiated rate for professional development, which is currently 37%. If the project is funded, then the unit will receive zero returned ICR funds from this award since the full F&A rate for this activity was not collected.

4. The academic unit is to use their returned ICR funds to directly support research and service needs within the unit in compliance with their specific written policies and procedures. If funds are distributed to individual PIs then monitoring of individual PI allocations are the responsibility of the unit. It is important to note that ICR funds may not be used towards salary support for the PI(s). ICR funds are one-time funds and should not be used to cover on-going expenses. Any unused ICR funds will not be swept at the end of the fiscal period and will carry forward into the next period. For proposals involving multiple units, the distribution of ICR funds must be agreed upon at the time the proposal is submitted to the sponsor. The relevant Dean/Director, or designee (i.e. Program Administrator) must be notified in writing of this agreement at that time.
5. The remainder of the ICR funds returned to UW Tacoma is used to support UW Tacoma Office of Research operations and programming and is distributed into the academic unit's annual Research Cost Recovery 75- budget.
6. Each academic year before the end of Fall Quarter (starting in FY 2020), AVC-Finance and AVC-Research will send an email to faculty at large informing them about ICR distributions for that fiscal year. For example, before the end of Fall Quarter 2020, a memo will be distributed that outlines ICR distributions to each academic unit based on the indirects that were collected from eligible grants and contracts during the previous year (from July 1, 2018-June 30, 2019) and returned to UW Tacoma.

