



January 24, 2006

Dr. Tom Bellamy
Vice Chancellor for Academic Affairs
University of Washington, Bothell

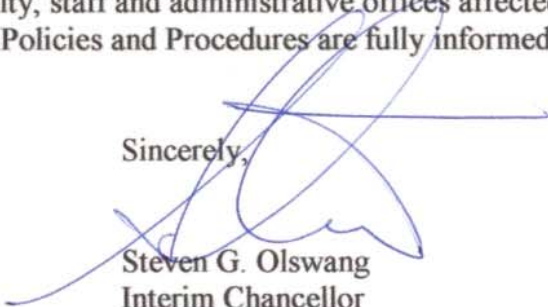
Dear Tom:

Thank you for your initiative and leadership in preparing the UWB Structures and Policies to Support Research and Sponsored Programs. I am pleased to accept them, in the form as they are, dated January 8, 2006. In addition to the description of the office of sponsored Program, I explicitly approved:

1. UW Bothell Policy: Roles and Responsibilities for Sponsored Programs
2. UW Bothell Policy: Research Incentives and Support for Infrastructure Expansion
3. Academic Affairs and Student Affairs Operating Procedures: Support for Faculty Effort that is Redirected to Sponsored Activities
4. UW Bothell Policy: Principal Investigator Eligibility on Sponsored Programs
5. UW Bothell Policy: Budgeting for Facilities and Administrative (Indirect) Costs

Please ensure that all those faculty, staff and administrative offices affected by or responsible for administering these Policies and Procedures are fully informed of their approval and implementation.

Sincerely,



Steven G. Olswang
Interim Chancellor

cc: Shawn Hunstock w/attachment

UWB Structures and Policies to Support Research and Sponsored Programs January 8, 2006

Purpose

This proposal recommends a structure, set of policies, and a budget allocation to strengthen support for research and to expand participation in externally-funded activities that contribute to the mission of UW Bothell. The specific objectives are to:

- Provide leadership for development of policies and programs that foster a campus culture that is supportive of research and creative works, with attention to development of funding for research from all sources, support for research assistants, faculty workload structures that enable research, and sharing of information to support research collaborations.
- Establish a support structure and culture that helps the campus achieve annual increases in the number of faculty submitting proposals for grant funding, the total number of grants submitted, and the total amount of external funding awarded, and the Facilities and Administrative cost recoveries (F&A, formerly called indirect costs).
- Improve organizational support for faculty scholarship and sponsored program activities, including the full range of services from opportunity identification, proposal preparation, administrative support for principal investigators of funded projects, and internal funding for preliminary scholarship that might lead to future funding.
- Increase awareness of unfunded and funded scholarship across the campus. This will involve electronic information about funded and major unfunded projects as well as development of events that showcase faculty research and creative works.
- Expand support for student involvement in sponsored faculty scholarship. This objective will be addressed in partnership with existing efforts in the Teaching and Learning Center to support undergraduate research.

Background and Need

After a broadly-based planning process, the Academic Strategic Action Initiatives Committee recommended, among other initiatives: (a) establishing an office of sponsored programs, (b) creating a Graduate Research Assistant program to support faculty research, and (c) maintaining a data base of scholarly activities to improve external information about our scholarship. During the 2003-2004 Academic Year, the Research Grants and Contracts Task Force appointed by the Interim Vice Chancellor for Academic Affairs further considered the need for research support and recommended (a) developing an Office of Research and Sponsored Programs with dedicated campus space, (b)

collection of reference materials related to grant applications, (c) continued use of consultants to stimulate development of grant activities, and (d) development of a policy structure supporting grants activities with wide consultation regarding specifics of these policies. Support for similar activities emerged from the FY 03-05 budget planning process, in which a full-time position supporting grant and contract development was identified for funding.

This proposal is an effort to respond to these recommendations through (a) an evolving structure for supporting grant and contract activities and (b) a set of policies that defines campus investments, procedures, responsibilities, and incentives related to grant and contract activities. While the structure and policies are presented here as a single proposal, it would be possible to address them separately. In particular, a policy infrastructure likely will be needed whether or not the campus moves forward on the proposed structural supports.

This response to the faculty committees' recommendations reflects a set of assumptions about effective strategies for supporting scholarship and sponsored programs:

- *Sponsored programs are a strategy to meet substantive institutional and individual professional goals, not an end in themselves.* While respecting the research interests of each faculty member, it is important for the institution to systematically invest in supports and infrastructure for sponsored projects that further institutional values and missions.
- *What makes grant applications most competitive is the time that principal investigators have to develop their ideas prior to submission.* The campus can help give faculty a competitive position by (a) systematically investing in small pilot projects that are designed to lead to larger awards and (b) streamlining the proposal development and approval process, so that the PI can focus on substantive, rather than administrative, aspects of the proposal during the short time that is often available for grant writing.
- *Once grants are funded, they contribute most to a faculty member's scholarship agenda and to the development of the campus when the PI is able to spend the majority of her or his time on the substantive aspects of the project, rather than on the details of budget and personnel administration within the university.* This is possible when the PI is supported by an administrative staff person with knowledge of funding agency requirements and expertise in university procedures associated with academic human resources, travel, budget transaction management, and so on.
- *A sustainable grants program requires a balanced set of incentives for all parts of the campus that are affected by grant work.* Incentives result from the way that F&A Cost Recovery funds are distributed, the cost of course buyouts and the uses of buyout funds, the treatment of grants in faculty and professional staff evaluations, and the informal support that PIs receive from program directors.

While differences in program cultures and priorities are natural and expected, a campus-wide system is needed to ensure balanced incentives for engaging in sponsored research.

- *A sustainable grants program also requires an infrastructure that grows automatically with the volume of funded projects.* The infrastructure supporting grant and contract work consists of the pre-award supports typically offered through an Office of Sponsored Programs, the administrative supports available to the PI in managing budget, personnel, and other tasks, and the post-award accounting and reporting functions associated with grant monitoring, fiscal compliance, and closeout. A fourth aspect of the infrastructure is the availability of targeted funds to help new faculty start up research programs and to provide matching funds when needed on grants and contracts.
- *An emphasis on externally funded projects functions best in a university when it includes provisions for supporting scholarship in disciplines in which few external funding opportunities exist.* For example, if a portion of the F&A cost recoveries are used for an internal grant program, it is important that faculty members whose scholarly interests have less potential for support from external funding be included. Similarly, it is important for the campus to recognize the limitations that exist in the grants that do exist in many disciplines. Often, using the full indirect cost rate or full buy-out rates makes an application very expensive, so matching funds can be particularly important in some disciplines.
- *In order to provide integrated support for sponsored and non-sponsored scholarship, the Office of Research Support necessarily relies on both funding from the campus general fund and support that derives from indirect costs of externally funded projects.* With funds from both sources, the Office can be expected to develop a balanced system of support for faculty research.

Approach

This proposal consists of two interrelated strategies to accomplish the objectives listed above:

1. Establish an Office of Research Support to create a focal point of responsibility for supporting research and sponsored projects. The ORS will (a) develop resources for and provide support services to faculty that facilitate research and scholarship; (b) be responsible for pre-award services for externally-funded projects and for fostering research support and collaboration on a campus-wide basis; (c) provide administrative services to funded projects that do not receive these services from a trained support staff program through an academic program or other campus office; and (d) support the development of research centers as funded projects in a particular area continue and grow.
2. Formalize a set of campus policies related to sponsored programs.

The Office of Research Support

Mission. The mission of the Office of Research Support (ORS) will be to stimulate and support scholarly activities that enhance the academic goals of the faculty and campus. The responsibilities of the office combine the development and administrative support of funded projects with broad support for other faculty research and research collaborations within the limits of available resources.

Responsibilities

The major responsibilities of the ORS are:

1. Offer campus-wide support for development of funded projects and partnerships, including
 - Maintaining accessible files and samples that assist faculty in preparation of grant proposals
 - Providing training, information, and consultation related to grant preparation
2. Administer internal funds that support faculty research
 - Make investments in faculty research using the Research Investment Fund with support from a faculty advisory committee. This will involve an annual call for proposals for both seed grants leading to sponsored research and projects in areas without external funding. In addition to an annual review of proposals, the Office may consider and fund proposals when they are received in order to respond quickly to emerging opportunities that require start-up and matching funds.
 - Provide leadership in developing and distributing additional funds that provide support for faculty research, including both seed grants for future sponsored programs and projects that are not currently funded through external sources.
3. Provide Pre-award services in the grant and contract process, including
 - Conducting a detailed review of funding agency requirements and ensuring that these are met in the application
 - Assistance in obtaining campus approvals for applications
 - Approval of proposed budgets, including responsibility for ensuring appropriate budgeting for salaries, fringe benefits, F&A Costs, and so on.
 - Ensuring that proposals comply with all campus and UW policies
 - Complete the UW OSP staff review for proposals from UW Bothell in order to reduce duplication of administrative functions between UWB and UWS.
4. Provide Continuing support for grant projects, including

- Facilitation of communications between the PI and post award services, compliance committees, funding agencies.
 - Maintaining records of funded projects
 - Support for implementation of sub-awards associated with funded projects
5. Disseminate information and reports to the campus and community
- Provide regular reports to the campus on the status of external funding activities
 - Maintain accessible data base of current research activities on the campus
 - Support academic administrators and faculty in communicating about research activities to external communities through events, press releases, and other means
 - Arrange for community events that highlight research and partnership activities
 - Ensure that the press are informed of research accomplishments
6. Coordinate with the UW Seattle Office of Sponsored Programs
- Provide on-site review of grant proposals for the UW OSP
 - Support UWB faculty in gaining access to all available UW funds and programs for research support
7. Collaborate with other campus units to foster involvement of students in faculty research and to develop student support for research.
8. Foster the success of funded research projects and programs through administrative services to PIs who do not formally receive this support from other programs or offices, including
- Assisting in managing purchases and travel expenditures
 - Supporting hiring and other academic personnel processes for faculty and students employed on grants
 - Monitoring grant budgets and providing reports to PIs
 - Disseminating information about funded projects as well as other faculty research and creative works to internal and external audiences
 - Collaborating with other campus units to support inclusion of undergraduates in funded and unfunded research.

NOTE 1: As it provides these services, the ORS will work in a way that is similar to existing programs, in that all these activities will be carried out under the oversight of the campus office responsible for oversight of each function (e.g., Academic personnel, budget, facilities, and so on).

Note 2: Under the policies proposed here, each grant must be located in an identified unit with an assigned administrative staff member who provides support to the PI. The ORS is available to all PIs as a locus of administrative support, but is not required. For example, a PI with several projects might want to hire a separate administrative staff member, or a program might wish to use non-instructional funds to hire an administrative staff member to support PIs. In cases where both the

program and the ORS have the needed services, the PI has the responsibility to choose where a grant will be located after consultation with the program director.

Structure and Staffing. To foster alignment with the academic mission of the campus, the ORS will be located in the Office of the Vice Chancellor for Academic Affairs. The office will be led by a full-time professional staff person whose responsibilities are broadly defined to address the office functions listed above. The Director will be assisted by a part time support staff to assist with budget and administrative matters.

As the ORS assumes responsibilities for pre-award services and provides support to PIs in management of academic personnel and budget matters, the VCAS offices that now provide these services will be able to concentrate more on information, oversight, and monitoring, providing support to grant projects in much the same way that they do to other units. The transition will be managed to ensure continuity of staff and expertise on the UWB campus. The VCAS or designee will continue to sign off on grant budgets before they are submitted.

Faculty oversight. During the first three years of operation, ORS will operate with support from a specially appointed faculty advisory committee that includes both advocates for a broad campus culture supporting research and those with expertise and experience in management of sponsored programs. Thereafter, it is expected that faculty oversight will be assigned to standing committee of the GFO.

Administrative Review. In order to ensure that the ORS is fully coordinated with existing campus services, compliant with applicable requirements, and coordinating effectively with relevant UWS offices, an semi-annual review of the ORS and related post-award grant functions will be conducted by the VCAA, VACS, and Director of the UW Office of Sponsored Programs.

Budget. The total annual budget for the office is estimated to be \$100,000 per year. It is anticipated that a continuing campus commitment to this level of funding will be needed, and that any further augmentation will come from a committed portion of campus F&A recovery.

- ORS Director (including benefits): \$75,000
- Office support staff (part time, including fringe): \$20,000
- Supplies and postage for proposal preparation/submission: \$5000

NOTE: At this staffing and budget level, it may be necessary to set priorities among the various responsibilities of the ORS and attend more fully to some areas than others.

Campus Policies Supporting Development of Research and Sponsored Programs

While UW policies and the Grants Information Memoranda (GIM) provide an overall framework for administration of sponsored programs, additional procedures are needed to

provide support for needed infrastructure as grant activity increases, align incentives at all levels with campus goals, and ensure efficient processes and equitable treatment. The attached “Academic Affairs Guidance Memoranda” create the needed policy foundation. Guidance is provided in the areas of:

- UW Bothell Roles and Responsibilities for Sponsored Programs
- Research Incentives and Support for Infrastructure Expansion
- Support for Faculty Effort that is Redirected to Sponsored Activities
- Principal Investigator Eligibility on Sponsored Programs
- Budgeting for Facilities and Administrative (Indirect) Costs

Time Line for Implementation

Funding for the first year of operations of the ORS has been requested from UWS, and a commitment to continuing funding is included in the current UWB biennium budget. Pending final approval of UW funding, the target date for implementation is October 1, 2006. Policies will take effect as they are approved.

UW Bothell Policy

Title: UW Bothell Roles and Responsibilities for Sponsored Programs

Approved By:

Date Approved:

Purpose

The purpose of this memorandum is to provide a description of the shared responsibility for the administration of sponsored programs at UW Bothell. This policy defines the roles and responsibilities of principal investigators, administrative support staff, program and unit directors, the Office of Research Support, and the Office of Finance and Accounting.

Authority and Related Requirements:

This memorandum is designed to facilitate UW Bothell's implementation of the UW Grants Information Memoranda.

Requirements

Supporting sponsored programs is a shared responsibility. While the Principal Investigator has immediate responsibility for the operation of a funded project, this occurs in an institutional context where responsibility for support is also assigned to administrative support staff, program and unit directors, the Office of Sponsored Programs, and the Office of Finance and Accounting.

Definitions

"Proposal" is the document required by external funding agencies to apply for funding that describes the plan for a research, instruction and training, or other program and requests financial support.

"Preaward" is the period of time during which a proposal is developed, reviewed, submitted to a funding organization, and, if necessary, negotiated prior to actual receipt of an award document or fully executed agreement.

"Postaward" is the period of time from actual receipt of an award document or fully executed agreement through final project technical and financial reporting, closeout from the accounting system, and audit resolution.

"Sponsored Programs" are research, instruction and training, and other sponsored activities (i.e., public service) sponsored by external organizations. Grants Information Memorandum 34 provides a detailed definition of sponsored programs and distinguishes these from gifts to the University.

"Subaward" (also referred to as a subcontract or sub-grant) is an agreement that transfers to another organization a portion of the substantive work being conducted under a sponsored program.

"Principal Investigator (PI):" A UWB employee who has been identified by UWB and the sponsoring organization as the individual having primary responsibility for the scientific and technical conduct and fiscal management of a sponsored program.

Responsibilities

Principal Investigator:

It is reasonable and appropriate for the principal investigator (PI) to rely on administrative support staff for assistance under a sponsored program. However, the PI is expected to:

- Be knowledgeable about sponsoring agency, UW and UWB policies and procedures related to proposal preparation and processing, conducting research, instruction, and training under a sponsored program.
- Provide sufficient time and information for proposal review by Program directors, so that they can plan for the impact of course buy-outs and other project features.
- Process proposals and resulting awards through the Office of Research Support and other appropriate administrative units.
- Obtain appropriate approvals required for the conduct of the sponsored program, such as use of human subjects, animals, biohazardous materials and/or recombinant DNA.
- Comply with specific terms and conditions of each sponsored program, including submission of programmatic reports, invention reports and inventory and equipment reports.
- Ensure that any sub-recipients comply with specific terms and conditions.
- Maintain budgets showing anticipated revenues and/or expenditures to assess financial performance.
- Ensure all expenditures incurred or transfer of funds:
 - are only for allowable costs under the terms of the sponsored agreement or applicable law;
 - are authorized in accordance with University policies, State and Federal laws and regulations, and specific sponsor or donor requirements or restrictions,
 - are made within the available funding for the account, or supported by an appropriate alternate non-sponsored program fund with sufficient funding for the disbursement. When it is anticipated that expenditures will exceed available funding, initiate plan for correction before exhaustion of funds; and
 - are, in the case of unallowable costs, transferred to an alternate non-sponsored funding source.
- Review monthly detail financial reports to:

- Detect financial transaction errors or discrepancies, and
 - monitor actual expenditures as compared to budgets.
- Take immediate action to resolve discrepancies or significant errors noted during the monthly report review.
- Follow up to ensure that such discrepancies or errors are corrected.
- Certify that all costs charged to a sponsored program are accurate and specifically benefit the program being charged.
- Certify salaries charged are accurate and specifically benefit the program by using the Faculty Effort Certification forms.
- Ensure that all financial transactions are properly recorded in a timely manner so that expenditure reports may be prepared and submitted by Grant and Contract Accounting.
- Maintain copies of original supporting documentation for all financial transactions for at least the minimum time periods specified in the funding agreement.
- Ensure that the administrative support staff member assigned to the project has full information about the project.

Administrative Support Staff

- Maintain internal project records and develop reports to assist the PI in managing the project budget.
- Use knowledge of sponsor regulations to assist the PI in compliance with all applicable constraints.
- Use expert knowledge of UW policies to assist the PI in compliance with all applicable requirements regarding academic, professional and student personnel, purchasing, travel, and facilities use.
- Provide assistance to PI for purchasing, contracting, hiring academic staff, and reconciling accounts.
- Ensure that all administrative services are coordinated with the responsible UWB offices and are in compliance with the procedures of those offices.

Program and Center Directors and other Campus Executives Responsible for Units that Administer Sponsored Program:

- Review all proposals to ensure that the proposed project is consistent with the objectives of their unit.
- Determine the eligibility of the individual designated as Principal Investigator (PI) or Co-Principal Investigator in accordance with UW and UWB policies.
- Ensure the appropriateness of the effort committed to the project by faculty, staff and students.
- Confirm that support will be provided for the administration of the project.
- Determine that cost sharing and/or matching fund commitments set forth in the proposal can be met.
- Approve cost-sharing or matching commitments.

- Provide documentation that cost sharing and/or matching fund commitments were provided as set forth in the proposal.
- Identify appropriate unrestricted fund sources at the unit level to cover overdrafts and/or disallowances that PIs are not able to cover with funds under their jurisdiction.
- Ensure that equipment purchased or acquired under sponsored programs awards are accounted for and/or disposed of in accordance with sponsor and University requirements.
- Ensure that a qualified administrative support staff person is assigned to each funded project.

ORS

Assistance locating funding opportunities

- Proposal Assistance.
 - Obtain guidelines/applications.
 - Interpretation of guidelines
 - Budget guidance
 - Review/completion of required representations & certifications
 - Processing for institutional approval and signature
 - After approval by OSP, copy & mail grants to Sponsor and assist, together with F&A staff, in web-based submissions such as the “Fastlane.”
- Review and approve budgets to ensure consistency with University and Sponsor requirements. charges for salaries, benefits, facility and administrative costs and other budget items.
- Ensure that no proposals are submitted without full approval from the appropriate director or other unit head and the final approvals of the Vice Chancellors.
- Route files to all appropriate UW offices for approval.
- Coordinate with UWB Office of Finance Accounting for account set-up.
- Communicate with the UW Office of Sponsored Programs for communication with sponsors’ contract officers during project funding periods.
- Process requests for budget modifications, extensions, and other pre-award requests.
- Track proposal/award data and provide reports to the campus community.
- Coordinate with Compliance committees:
 - Institutional Review Board for the Protection of Human Subjects
 - Institutional Animal Care and Use Committee
 - Biosafety Research Committee
 - Research Misconduct Committee
 - Classified Research Committee
- Conduct workshops on various sponsored programs topics.
- Provide technical assistance in preparation of proposals.
- Provide administrative support to PI’s whose administrative (budget and personnel) support is not provided by other campus units.

- Provide support for the faculty effort certification process.

Office of Finance and Administration

The Office of Finance and Administration focuses on post award services and documenting expenditures/compliance and providing support in the processing of expenditures. Responsibilities of the Office of Finance and Administration include:

- Review and approve grant budgets before submission to ensure appropriate charges for salaries, benefits, facility and administrative costs and other budget items.
- Approve allocation of new space that is required for a project before submission of the application.
- Provide oversight for budget transactions, facilities use, and classified and professional staff and hourly students for the ORS in a manner that is parallel to oversight for other academic units.
- Set-up project account in accordance with award notice.
- Monitor expenditures as to allowability and appropriateness so that expenditures hold up to Federal and State Audit.
- Administer the personnel effort report system for the campus.

UW Bothell Policy

Title: Research Incentives and Support for Infrastructure Expansion

Approved By:

Date Approved:

Purpose

This memorandum describes the process for awarding funds to provide (a) incentives for initiating externally-funded projects, (b) support for administrative functions associated with external projects, and (c) support to replace faculty effort that is redirected from instruction and other functions to the sponsored activities.

Authority and Related Requirements

The administration of externally-funded projects at the UW Bothell is governed by UW GIMs regarding sponsored programs and by any additional requirements that may be imposed by the sponsoring agencies of individual projects. Working within these requirements, the campus has authority to develop implementation procedures that create incentives and foster effective operations toward campus goals.

Rationale

Sponsored programs provide important vehicles for helping the campus, the various programs, and individual faculty members meet their goals for development and impact. A system of incentives and supports is needed to support and encourage this work. To be effective, this system of incentives and supports must recognize the initiative of Principal Investigators who develop successful grant and contract proposals, ensure the availability and scalability of needed support services, and ensure that funds are available to replace faculty effort that is re-directed to the sponsored activities.

Requirements

1. Each year the UW Bothell commits funds for research incentives and infrastructure support in an amount that equals the Facilities and Administration (F&A, previously called Indirect) costs that were recovered during the prior fiscal year. Normally this amount is defined prior to September 1, of each year.
2. By early October of each fiscal year, this research incentive and support budget will be distributed as follows: *(NOTE: The proposed distribution assumes new funding for the Office of Research Support and continued funding for post award services from the campus base budget. As sponsored research activity grows, it is assumed that all increases in capacity of these support offices will be funded through the VCAA and VCAF*

portions of the F&A recoveries, rather than requiring new budget allocations from the campus.)

- a. Principal Investigator incentive (to support professional development, administrative costs internal to the grant project, and provide support for scholarly activities)—20%
 - b. Academic Program Support (to support program-level grants, supplement buyouts in covering displaced faculty effort, and provide additional support for research within the program or office submitting the grant)—20%.
 - c. Administrative support. Provides funds to support the program or office providing administrative staff support for the project—10%.
 - d. Vice Chancellor for Academic Affairs and Research Investment Fund. Up to 30% of the annual allocations to the VCAA may be used to increase the capacity of the ORS. The remainder will be used to develop the Research Investment Fund. Managed by the VCAA, this fund will provide seed grants and other research investments that support research and sponsored programs (e.g., trips to visit funding agencies, consultants to assist in proposal writing, and start-up and matching funds for funded projects)—20%.
 - e. Vice Chancellor for Administrative Services and Research Expenditure Reserve Fund. Up to 30% of the annual allocations to the VCAS may be used to increase the capacity of the offices providing fiscal oversight and post award support for grants. The remainder will be used to develop the Research Expenditure Reserve Fund. This fund will be managed by the VCAS for facilities, equipment, and unanticipated campus costs associated with funded projects, including space procurement or renovation for grant activities. When the end-of-year balance in the Research Expenditure Reserve Fund exceeds \$200,000, the amount in excess of this total will be redirected to the Research Investment Fund. —20%
 - f. The Chancellor, for other campus administrative costs associated with research activities—10%.
3. Distributions from research incentive and support funds will be placed in 75-XXXX accounts and will continue to be available until they are spent.
 4. When an individual leaves the campus before distribution of a PI incentive or with a balance in an account established with research incentive and support funds, the balance will be divided equally among her or his program and the Research Investment Fund.
 5. This policy goes into effect immediately on approval and applies to all new projects funded after January 1, 2006. Previous distribution formulas apply to previously-funded continuing projects until the 2006-2007 fiscal year. (That is, all awards with start or renewal dates after July 1, 2006 will be subject to the new incentive distribution formula.)

6. This distribution is contingent on continuation of current UWS financial policies regarding how UWB indirect costs, and may not be sustainable if these are changed. In particular, it may not be possible to sustain the policies for grants that do not have indirect cost rates at the full UW negotiated rate. Consequently, this policy will be reviewed either upon any change in UWS practices and no later than five years after approval.

Academic Affairs and Student Affairs Operating Procedure

Title: Support for Faculty Effort that is Redirected to Sponsored Activities

Approved By:

Date Approved:

Purpose

This memorandum establishes a campus-wide metric for determining the level of funding that is appropriate when teaching and other faculty activity is redirected to externally-funded projects.

Rationale

External projects typically involve a redirection of some faculty work to accomplish the goals for which funding is obtained. Because faculty work is normally an integrated mixture of instruction, scholarship, and service, it is difficult to separate these functions in arranging for a redirection of activities. For example, when faculty members help a community agency or business solve problems, they may be creating internship placements for students, conducting research, helping the school to apply new knowledge, or all of these simultaneously. As a result, it is difficult as a practical matter to allocate distinct percentages of faculty time to teaching, research, and service.

When considering workload changes, UW Bothell uses a faculty member's course load as the metric for defining units of faculty work that are redirected to grants. That is, each assigned course is viewed as comprising the actual instruction and course preparation activities as well as an associated commitment of time to scholarship and service activities. This approach recognizes the interrelated nature of teaching, research, and service and assumes that all these activities are necessary to ensure that the organizational context and culture for teaching are sustained and the content of courses remains up-to-date and applicable.

Following this logic, UWB approves load reductions associated with sponsored programs in course units; that is, the redirection of work associated with buyouts is assumed to include not only teaching but also the associated commitments to research and service. This does not mean that the research and service activities stop during a course release. Rather, it recognizes that these activities are often directed to purposes other than those that would normally result from the interaction of teaching, research, and service.

Guidance and Procedures

Redirection of faculty effort to sponsored projects will normally occur in course units and will be funded by project funds proportionate to the faculty member's academic year teaching load with a modification that is intended to take into account the additional

requirements for institutional service that is expected of all faculty members in a rapidly-developing campus. To compute the value of course buyouts, this additional institutional service responsibility will be counted as equivalent to one additional course during each academic year.

Following this logic, course buyouts will be funded at a rate that is proportional to the teaching load plus one course. For example, for faculty members with an annual teaching load of five courses, one-sixth of the academic year salary is required to fund a one-course release and redirection of a proportionate share of their scholarship and service.

Naturally, there are many circumstances in which it will be in the program's or institution's interest to give special support to a project, and this may involve providing faculty members with releases from normal assignments at a lower cost than this standard campus formula. Each program director has the authority to approve course releases at a lower rate, as long as the difference is documented as in-kind support for the project and is approved by the program director, who has taken responsibility for funding instruction required in the program.

All faculty are expected to remain active participants in the teaching and learning responsibilities of academic programs and in associated program-related scholarship and service to the campus. Consequently, tenured and tenure track faculty may not buy out of all their courses during any academic year. Academic Programs may set more restrictive limits on the total number of courses that a faculty member may buy out during an academic year.

Professional Staff. When a portion of a professional staff member's time is committed to a sponsored program, a proportionate amount of salary and benefits will be charged to the grant account. Use of funds that would otherwise pay the individual's salary will be determined on a case-by-case basis by the individual, her or his supervisor, and the responsible Vice Chancellor.

UW Bothell Policy

Title: Principal Investigator Eligibility for Sponsored Programs

Approved By:

Date Approved:

Purpose

The purpose of this memorandum is to specify who may serve as a Principal Investigator on externally sponsored programs at UW Bothell. For the purposes of this memorandum, the term "Principal Investigator" includes Principal Investigator, Project Director and Program Director. This is the person who has been identified by campus and the sponsoring organization as the individual having primary responsibility for the scientific and technical conduct and fiscal management of the sponsored program.

Rationale

The university is responsible for completion of work associated with externally-funded projects and depends on having principal investigators who are committed to project completion.

Guideline and Procedures

Individuals who are voting members of an academic program faculty and hold faculty appointments of at least .50 FTE or greater at UW Bothell are eligible to serve as Principal Investigator. Other faculty members who have the necessary experience and independence to apply for and conduct his/her own program may serve as PIs with the approval of the program director and VCAA. Other individuals reporting to Academic and Student Affairs units, including professional staff and non-voting members of the faculty may be approved on a case by case basis by the Vice Chancellor for Academic Affairs to serve as a Principal Investigator. Professional staff with regular teaching assignments and those with responsibility for directing academic support and student support offices will normally be approved. Individuals reporting to Finance and Administration Units may also be approved on a case by case basis by the Vice Chancellor for Administrative Services to serve as a Principal Investigator.

UW Bothell Policy

Title: Budgeting for Facilities and Administrative (Indirect) Costs

Approved By:

Date Approved:

Purpose

This memorandum clarifies UWB procedures for considering requests for exceptions to the negotiated F&A cost rate

Authority

Exceptions to F&A costs are strictly limited by OMB regulations and UW policies.

Rationale

While maintaining strict compliance with requirements regarding F&A costs, the campus may also find that some circumstances warrant exceptions. This memorandum describes procedures to be followed when exceptions are requested by a PI.

Guidance and Procedures

The full negotiated indirect cost rate is applied to all UWB applications except when:

- The funding agency or program has a written policy that is consistently applied to all applications that limits indirect costs. When this is the case, the PI should include a copy of the policy or requirement in the grant routing documents.
- The activities are conducted off campus and meet the requirements for the negotiated off-campus rate. The contents of the proposal should clearly demonstrate that campus facilities are not used in the project.
- The campus makes a cost sharing commitment to the project that is used to lower the F&A rate. UWB commitments to sharing of F&A costs must be approved by both the Vice Chancellor for Academic Affairs and the Vice Chancellor for Administrative Services, with such approval documented in the routing documents as grant applications approved.