

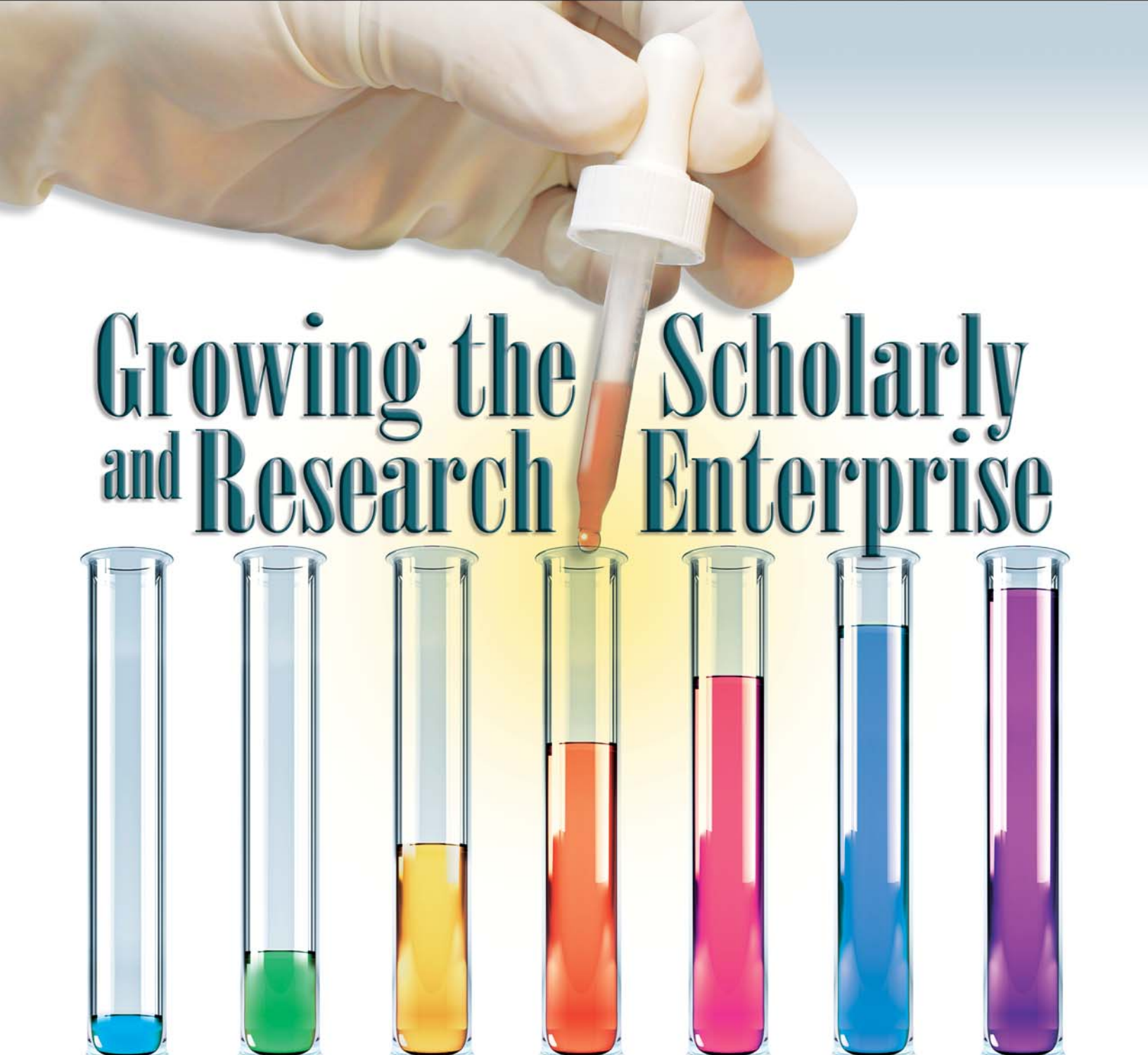
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NCURA

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UNIVERSITY RESEARCH ADMINISTRATORS

VOLUME XLVI, NO. 2



Growing the Scholarly and Research Enterprise

ALSO IN THIS ISSUE

The Final Guidance Series Debuts

National Research Universities: To Compete, Prosper, and Achieve

The International Network of Research Management Societies (INORMS) 5th biennial Congress will be held in Washington, DC, April 10-13, 2014. The theme of the Congress is *Enabling the Global Research Enterprise from Policy to Practice*. The meeting offers global experts presenting 10 pre-conference workshops and 70 concurrent sessions organized by the professional tracks of Policy, Performance, and Practice.

POLICY: Global, national, or institutional policy initiatives impacting the administration of research.

PERFORMANCE: Tracking, enabling, or measuring performance or impact utilizing tools or systems.

PERFORMANCE: Global exchange of pre-award, post-award, or compliance operational best practices

The Congress will highlight current policies impacting the global research enterprise, provide numerous sessions detailing best-practices and provide the latest in performance measurement. Senior research administrators involved with policy development and implementation of practice are encouraged to attend. Participants will include senior university administration, government policy-makers and senior managers of the national and international funding agencies. This is the first time the Congress will be held in North America. Previous meetings were held in Brisbane, Liverpool, Cape Town and Copenhagen. Plan to join us as we welcome colleagues from around the world.

A sample of sessions for the upcoming meeting include:

- ✿ Campus Shared Services: Transforming How We Support the Research Enterprise
- ✿ Promoting Interdisciplinarity: Challenges and Gains
- ✿ Using Business Intelligence to Drive Research Administration Improvement
- ✿ Managing and Facilitating the Changing Nature of Research Administration: An Assessment Program for Sponsored Program Operations
- ✿ How Research Administrators Help Make the World a Smaller Place: From Strategy to Reality
- ✿ Leading Practices in Managing International Partnerships
- ✿ Structuring Your Research Office for Success and Efficiency
- ✿ Universities as Agents of Regional Economic Development



inorms 2014

WASHINGTON DC

April 10-13, 2014 | Washington, DC



Co-Chairs (l to r): **Martin Kirk**, University of British Columbia (CAURA); **Bill Schweri**, University of Kentucky (SRAI); **David Richardson**, University of Illinois (NCURA)

April in Washington, DC is a fabulous time to take advantage of beautiful weather, world-famous cherry blossoms and a variety of networking activities including an evening at the Smithsonian Air & Space Museum and a closing event featuring the global edition of NCURA's *Soul Source and the No-Cost Extensions*.

Registration and lodging information is available at <http://inorms2014.org/wp>



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WASHINGTON DC

INORMS www.INORMS.org is the global umbrella research management organization with a leadership council consisting of the presidents from each national/constituent sister associations from Australasia, Africa, Europe, and North America. It was formed in 2001 to bring together research management societies and associations from across the globe. Its purpose is to enable interactions, sharing of good practice, and joint activities between the member societies, to the benefit of their individual memberships.

CAURA - ACARU

 **NCURA**
supporting research...together

 **SRA International**

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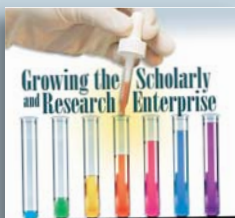


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ON THE COVER: Why dedicate an issue of *NCURA Magazine* to “Growing the Scholarly and Research Enterprise?” While I have witnessed firsthand the vital role research administrators (RAs) play in keeping an institution’s research enterprise running smoothly, I have also seen RAs stretch their imaginations and influence by playing “value-added” roles for faculty researchers, myself included (see “Strategies for Growing your Department’s Scholarly and Research Enterprise”). RAs who are poised to expand their roles have the potential to exceed the expectations of keeping the research enterprise afloat and move into the realm of being “part of the team” in helping their institution’s scholarly and research output thrive and flourish, even during times of financial crisis. This issue of *NCURA Magazine* is dedicated not to what RAs



do on a regular basis, but on the limitless potential of what they *can* contribute beyond daily operations in order to help grow the scholarly and research enterprise.

Carol Blum starts off with some good news for research administration from the Feds – a \$1 million funding commitment to study the administrative burden on entities with NIH-funded activities, with the goal of reducing the burden. If brought to

fruition, this could free up time for RAs to expand their roles. Next, Dr. Francisco Cigarroa recounts his experience on the National Academies’ Committee on Research Universities, which was commissioned by Congress, to address the future of the US’s research universities by creating action steps, and presents subsequent initiatives he is developing at his home institution. In a series of two articles, Peg Atkisson first shares her insights and personal experiences as a consultant in launching research development offices by using a core philosophy of removing barriers and creating opportunities. In her second article, Peg gives advice on what skills and characteristics to look for when staffing your research development office. While Roger Feeley examines the idea of using “disruptive innovation” as a strategy for growing the research enterprise, Pei-Lin Shi presents feedback from three members of NCURA’s eRA Community in Collaborate on what innovative initiatives they have implemented to enhance Research Administration by helping faculty obtain funds for new and ongoing projects. Next, Erica Gambrell and Angie Shotts take us through the “baby steps” taken over the course of several years to create a research development enterprise at the University of Alabama, and Melody Bentz emphasizes customer service as the smoothest route for RAs looking to help grow the scholarly and research capacity at PUIs.



In this issue, *NCURA Magazine* is proud to feature Dr. Michael Teitelbaum, Science Careers 2013 Person of the Year, as he provides seven tips for young faculty starting their careers—indeed, nurturing junior faculty on their journey to becoming senior, independent researchers is a core source of growth for an institution. And finally, I’d like to highlight the upcoming fifth biennial International Network of Research Management Societies (INORMS) Congress in Washington, DC, April 10-13, 2014. With a theme of “Enabling the Global Research Enterprise from Policy to Practice,” it’s evident that the trend toward research administration playing a part in growing the scholarly and research enterprise is truly international in scope, and in line with this theme, featured articles are devoted to research administration in Canada, Scandinavia, and Japan.

Whether you currently have a leading role, occasionally dabble in, or are considering implementing an entity devoted to research development, the articles in this issue are sure to get you thinking “outside the box” and provide you with some tips and strategies for playing an active role in growing your institution’s scholarly and research enterprise.

Kristine M. Kulage, MA, MPH, Co-Editor

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Message from Your President

By Vivian Holmes, NCURA President

This issue's theme *Growing the Scholarly and Research Enterprise* resonates soundly with me and my institution, the Broad Institute. So many of us work in environments in which the science is extremely high level and fast moving. Often we may be intimidated by words or technologies we may not understand and may be tempted to focus solely on our administrative role as if it were a separate operation. Not only is this not necessary, it is depriving us of a richer experience where we may have a positive impact.

How gratifying it can be to align your mission as a research administrator with the research itself! To recognize that the advances made in the treatment of diseases may have started with a proposal for which you had calculated the needs and costs. How powerful to play a role ensuring legal and ethical compliance requirements were met prior to landmark discoveries.

My institution requires everyone, regardless of role, to take training in the Protection of Human Subjects. The Broad's goal to transform medicine with the power of genomics obviously requires human subjects and data. Incoming scientists and non-scientists learn basic principles of the ethical treatment of humans including the historical perspective as well as current regulatory and ethical issues. That our entire community understands and respects the responsibilities related to this research forms a connection.

In the early 2000's, my Harvard Medical School (HMS) colleague, Shannon Connell, and I founded a seminar series we called "Fulfilling the Mission." We enlisted busy and successful faculty researchers to share their projects and visions, in layman's terms, to all members of the administration. Consistent with the HMS mission, their endeavors described in these seminars helped us to make that fundamental connection, reminding and assuring us that our administrative support was contributing to a truly greater good.

Here at the Broad, we have "BroadWay," a similar forum for science and administration to come together. BroadWay has fostered the sense of community throughout our institution. Technical and non-technical presenters recognize the crucial link between all areas of administration and all levels of scientific pursuits and identify opportunities to join forces. Surely, the closer connection between these great endeavors and the administrations prepared to support them brings greater success. Learning the details is fascinating; knowing you have helped in any way to facilitate the progress, is exhilarating.

If you can, find ways to better understand the research you are administering. Very talented faculty, postdocs, and graduate students are frequently skillful with "out of the weeds" descriptions of their work. In turn, share with them your non-technical explanation of overhead, conflicts of interest, export controls. Communication is crucial and even basic understanding improves the dynamic from either standpoint.

A mutual appreciation and understanding throughout our research communities will make our jobs easier and our service more valuable. We should also realize and appreciate that we, as research administrators, prove to be a vital component of extraordinary world-changing missions.

Vivian Holmes is NCURA President and serves as the Director, Sponsored Research Operations at the Broad Institute of MIT and Harvard. She can be reached at vholmes@broadinstitute.org



Congress appropriated and the President signed PL 113-076, the Consolidated Appropriations Act of 2014 (HR 3547) on January 17, 2014.¹ With a very brief (barely noticeable) continuing resolution from January 15 to January 18, the Federal agencies began “normal” operations. There are only a few notable changes or additions with regard to the research enterprise – besides the various funding levels.

The additional layer of review of projects supporting political science research through the National Science Foundation (NSF) has been eliminated so the extraordinary caution demonstrated by NSF during the past fiscal year can be eased. The restrictions regarding bilateral activities with Chinese scholars and entities funded through the National Aeronautics and Space Administration (NASA) and the Office of Science and Technology Policy (OSTP) continue as does the requirement for a cyber-espionage or sabotage assessment for information-technology purchased by the Departments of Commerce and Justice, NASA or NSF. The assessment is made to determine any risk associated with systems being produced by entities associated with China. As an aside, all affected agencies, except for NASA, have viewed this as a requirement applicable to the agencies’ purchases. Only NASA has attempted to pass this requirement on to its research contractors and, in some cases, grantees through the addition of clauses 1852.225-73 and 1852.225-74, *Notification Prior to Acquiring Information Technology Systems from Entities Owned, Directed or Subsidized by the People’s Republic of China*. Some have argued, and this author would agree, that this prior notification is not required for systems or components purchased for use by the grantee that will not be transferred to NASA at the conclusion of the project.

In addition to maintaining the Executive Level II salary limitation – and it should be noted, that the Executive Level II pay scale was increased by 1 percent from \$179,700 to \$181,500 via Executive Order 13655, effective January 12, 2014 – the National Institutes of Health is directed to track and measure administrative burdens on grantees in a Joint Explanatory Statement posted by the US House Committee on Rules to elaborate on the Consolidated Appropriations Act². NIH is to “establish a workgroup that includes coordination and participation of universities, not-for-profits, and institutes receiving support from the NIH to develop a method to track and measure the administrative burden on entities participating in NIH supported activities with the goal of developing a plan to reduce such administrative burden as practicable.”

Together with the NIH workgroup effort, funds are provided to support a study, by the National Research Council (NRC), of the effects of regulations and reporting requirements on colleges. This study had been authorized by the Higher Education Opportunities Act of 2008 (HEOA). Section 1106 of HEOA directed the Secretary of the Department of Education to enter into an agreement with the NRC to determine the number and scope of Federal regulations and reporting requirements with which higher education institutions must comply. At the time, Congress failed to appropriate funds to support the study.

The Consolidated Appropriations Act of 2014 finally provides \$1 million for



the study. In addition to the number and scope of the regulations, NRC will be directed to estimate the time and costs to institutions required to comply with the regulations and reporting requirements. Finally, NRC is asked to make recommendations for consolidating, streamlining, and eliminating redundant and burdensome Federal regulations and reporting requirements affecting institutions of higher education. The study is due in one year, or January 17, 2015.

Federal regulatory burden received separate attention from the US Senate in late November, 2013. On November 18, 2013, US Senate Education Committee members Lamar Alexander (R-Tenn.), Barbara Mikulski (D-Md.), Richard Burr (R-N.C.), and Michael Bennet (D-Colo.) announced the formation of a task force to examine burdens on institutions of higher education. The *Task Force on Government Regulation of Higher Education* is directed to conduct a comprehensive review of federal regulations and reporting requirements affecting colleges and universities and make recommendations to reduce and streamline regulations, while protecting students, institutions and taxpayers. The task force is co-chaired by Nicholas Zeppos, chancellor of Vanderbilt University, and William Kirwan, chancellor of the University System of Maryland and includes 14 college and university presidents and higher education experts. The American Council on Education will provide organizational assistance. The recommendations from the task force can serve to inform the deliberations of the Health, Education, Labor and Pensions Committee as it prepares for the 10th reauthorization of the Higher Education Opportunities Act.

As NIH, NRC and the Senate Task Force embark on their studies, the National Science Board (NSB) is scheduled to release its report and recommendations in February 2014 on *Reducing Investigator’s Administrative Workload for*

Federally Funded Research. The NSB Task Force on Administrative Burden, formed by the NSB in December 2012, has been conducting its review through a formal Request for Information and roundtable discussions throughout 2013 and hopes to bring its report and recommendation to the Board at its February meeting. In preliminary discussions with task force staff, the issues of concern for investigators are consistent with the concerns described in the Federal Demonstration Partnership's 2007 and 2012 Surveys of Faculty Workload.³ Investigators continue to report to the FDP that 42% of their federally-funded research time is spent completing pre- and post-award administrative requirements including preparing proposals and reporting on research results. Compliance with the review, training and reporting requirements of the Institutional Review Board for human subjects research and the Institutional Animal Care and Use Committee for animal research, along with financial and personnel management tasks, create the greatest burden according to investigators responding to the FDP survey. The

issues are familiar; the research community is hopeful that the recommendations of the NSB will help begin to lay out a path for fixing the problems.

One observation: The proliferation of working groups and task forces convened to conduct studies geared toward reducing administrative and/or regulatory burden is becoming a bit of a burden. ■

Carol J. Blum is Director for Research Compliance and Administration at the Council on Governmental Relations (COGR). Before joining COGR in 2001, Carol served Ohio University for ten years as associate vice president for research after three years at the Ohio Board of Regents as director of graduate and special programs. She holds a PhD in history from the University of Cincinnati. She has recently begun exercising the right side of her brain in art classes and continues to volunteer at the Washington Literacy Council and Washington Area (Reproductive Health) Clinic Defense Task Force. Carol can be reached at cblum@cogr.edu

References:

- 1 Consolidated Appropriations Act, 2014, HR 3547, is available on the US House of Representatives Committee on Rules website at: <http://rules.house.gov/bill/113/hr-3547-sa> or THOMAS at: <http://thomas.loc.gov/home/thomas.php>
- 2 The Explanatory Statement is available on the US House of Representatives Committee on Rules website at: <http://rules.house.gov/bill/113/hr-3547-sa>
- 3 Preliminary Results of Faculty Workload Survey (2013) are available on the Federal Demonstration Partnership website at: http://sites.nationalacademies.org/PGA/fdp/PGA_055749



DON'T FORGET TO SUBMIT YOUR NOMINATION!

Call for Nominations – Vice President/President-Elect, Members of the Board and Award Nominations

The Nominating and Leadership Development Committee is pleased to present the opportunity for all members of NCURA to nominate (or self-nominate) candidates to serve as the next leaders for our organization as well as recognize those who have contributed to the success of NCURA.

We urge you to consider individuals for the following important positions and awards:

- Vice President/President-Elect
- At-Large Board Member

Terms of these positions will begin on January 1, 2015

Please email nominations to:

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- Outstanding Achievement in Research Administration
- NCURA Julia Jacobsen Distinguished Service Award
 - Joseph F. Carrabino Award
 - Catherine Core Minority Travel Award

Please email award nominations and applications to:

awards@ncura.edu

All nominations and supporting materials
(candidate's statement of interest and current resume/vita of 1-3 pages, etc.)
from the nominees must be received electronically on or before March 24, 2014.

National Research Universities:

By Chancellor Francisco G. Cigarroa, M.D.



Five years ago, members of Congress asked the National Academies to address the future of our nation's research universities by

recommending the top 10 actions we should undertake, as a country, "to compete, prosper, and achieve national goals for health, energy, the environment, and security in the global community of the 21st century."

I was privileged to serve on the Committee on Research Universities, convened by the National Research Council, to respond to Congress's charge. It was an important and very productive study. Our report, entitled "Research Universities and the Future of America: Ten Breakthrough Actions Vital to our Nation's Prosperity and Security," will continue to have a beneficial impact on higher education in both the near and long term.

America's research institutions are a prime source of innovation and renewal. We need that innovation in order to take on the challenges we now face as a nation in such crucial areas as the economy, sustainable energy, food and water resources, healthcare, and national security, to name only a few.

But our universities and research institutions continue to face declining support from state and federal governments. And so, as we look to the future of research, we must revitalize our public-private partnerships with business and industry to better fund research and development – and graduate education – in order to produce new knowledge and the research leaders of tomorrow.

Serving on the Committee on Research Universities inspired me, as

Chancellor of The University of Texas System, to direct my staff, our research administrators, and our 15 universities and health institutions to respond to the committee's rec-

ommendations with creativity and vision. Let me mention a few of the initiatives we are developing to support those recommendations:

Improving productivity: The UT System Productivity Dashboard is a public online tool for viewing and sharing data about UT System institutions. Ten core indicators provide an overview of institutional performances by the numbers. Those indicators track productivity and efficiency, especially how we're improving (or not) in enrollment, degrees awarded, research expenditures, graduation rates, post-graduation success (employment), etc. The Dashboard supports our leadership teams at the 15 UT System institutions in their decisions and policy-making, and provides performance comparisons with national peer groups and national benchmarks.

Transparency: We are the first system of higher education in the nation to launch an interactive website that provides salary and debt statistics of students one year and five years after graduation. Data for the [seekUT](http://www.utsystem.edu/seekut) website <http://www.utsystem.edu/seekut> is obtained from the Texas Higher Education Coordinating Board, the Texas Workforce Commission, the National Student Clearinghouse, and the Employment Projections program at the U.S. Bureau of Labor Statistics.

Strategic investment: We have developed the UT Research Cyberinfrastructure, which is advancing current and future research efforts at our institutions by providing a combination of advanced computational systems, large data storage opportunities, and high bandwidth data ac-

To Compete, Prosper, and Achieve



cess between institutions. The Cyber-infrastructure is enabling University of Texas researchers across the state to collab-

orate with one another and to compete at the forefront of science and discovery.

Partnerships with business: One of our most recent initiatives in technology commercialization is called UT FreshAIR, whose goal is to create successful partnerships between UT System health institutions and the life sciences industry. This past September we brought together researchers from our six health institutions and leaders in the pharmaceutical and biomedical industries to showcase the large capacity for drug and biological discovery in Texas – and to support the development of a public-private collaboration hub for research and commercialization in our region of the country.

Diversity: The University of Texas System is deeply committed to increasing the numbers of women and underrepresented minorities in our institutions, especially in the STEM fields. We are very active in South Texas and the Rio Grande Valley, with a population that is 80 percent Hispanic. For example, the Board of Regents has provided \$30 million for education and health initiatives in the Rio Grande Valley – to fund a nationally acclaimed teacher-training program, to attract and retain the best-qualified faculty in the sciences and technology, and to develop biomedical research programs in that region of our state. We are also combining our two universities in the Valley to create a single new research university with its own school of medicine. That university will open its doors in the fall of 2015, and it will immediately become the second largest Hispanic Serving Institution in the nation.

America's institutions of higher learning are still the envy of the world, particularly in research and graduate programs. But ex-

cellence is a moving target, and we have to make continual improvements to keep our research universities ranked at the top in global competition. The 10 recommendations of the Committee on Research Universities are sound strategies for strengthening and advancing our nation's research institutions, and I am deeply honored to have participated in that noble endeavor. ■

References

"Research Universities and the Future of America: Ten Breakthrough Actions Vital to our Nation's Prosperity and Security," National Academies Press (Washington, D.C.), 2012.



Francisco G. Cigarroa was selected as chancellor of The University of Texas System in 2009. He is a renowned pediatric transplant surgeon who served as president of The University of Texas Health Science Center at San Antonio prior to his appointment as chancellor. A native of Laredo, Texas, Dr. Cigarroa earned his bachelor's degree from Yale University and his medical degree from The University of Texas Southwestern Medical Center. He is a member of several prestigious academic and medical societies, including the American College of Surgery, the Institute of Medicine, and the American Academy of Arts and Sciences. Chancellor Cigarroa is the first Latino to serve as chancellor of The University of Texas System. He has been appointed by President Obama to serve as a commissioner on the White House Initiative on Educational Excellence of Hispanic Americans.

A dozen and more years ago, the few of us with jobs in what would become known as research development felt like we were making it up as we went along. We came to the work through various directions—researcher, foundation relations officer, writer, research administrator—usually at the instigation of someone in the university administration who had some version of the following thought: “Wouldn’t it be great if we had some way to help faculty get funding?” The underlying philosophy of research development centers on the idea of removal of barriers and the creation of opportunity. Typically this translates to creating structures to provide support for faculty members to pursue large, high-value proposals. This was the work that kept me busy when I entered the field, first as a consultant and eventually as the founding director of the office of proposal development for my steadiest client, Tufts University. The transition from bench neuroscientist to research development professional contained many lessons in organization, “managing up”, and federal relations. The biggest lesson, however, was the realization that proposal development, valuable as it was, did not sufficiently describe all that we did, or all that the university might need.

My experiences at Tufts were not unique, and what is now referred to as research development tends to cover four basic areas:

- a. Comprehensive support for “high-value proposals”, such as center grants or infrastructure grants, from finding the opportunity, project management, writing where needed, and even helping to create the research and administrative team.
- b. Faculty development, including finding funding opportunities, helping with individual applications, grantsmanship instruction, lab and time management support, etc.
- c. Strategic planning for what the university needs to have in place to increase competitiveness.
- d. Communications, both within the university and for promoting the university’s research.

Institutions embarking on capacity-building in research development tend to start with an emphasis in one of the four areas. Sometimes it begins with one staff member in research administration or in the library tasked with helping faculty search for funding opportunities. Sometimes it begins with hiring a consultant or grant writer to help with a large proposal. And sometimes it starts at the top, with a vice-president-level administrator taking on the

strategic planning and identifying needs. Ideally, however, these functions are integrated so that when a large funding opportunity is announced, the institution has both faculty and research development teams in place with the capacity, experience and collaborative structures necessary to create a competitive proposal in line with the university’s goals.

Research Development: Where to begin?

By M. S. AtKisson

Tufts University originally brought me in as a contractor to help faculty on center grants and training grants—essentially any kind of application where the individual benefit for the PI might seem to be outweighed by the work involved, but where the grant would benefit the institution. One of my own early successes involved partnering with a faculty member who saw the center grant application as simply overwhelming. Even highly successful researchers often find complex RFAs daunting, and don’t have a clear notion about how to set up a governance structure, or how to write the business plan for a core facility. Good grant writers and proposal development staff can provide support that enables good scientists to head up competitive applications for research centers, training programs, or infrastructure projects. My support removed the barrier, and I learned on the job how to help organize the right teams, draft descriptions

of core facilities, and to make sure all of the RFA requirements were met. Coming from a research background, the regulatory requirements were eye opening, and I had to learn how to interact with research administration.

Some institutions start from the research administration direction, creating proposal development support for the administrative parts of the application. This is very helpful for the faculty, but additional value can come from someone with a research background who knows how reviewers think and how to write for them. An understanding of peer review from the insider’s perspective pays large dividends in creating a compelling, readable application.

Not all research development is the same, and every institution has a different approach to accomplishing its mission. “We generally try to do anything that promotes and supports research activity among our faculty,” says University of Oregon’s Lynne Stearney. She directs the Office of Research Development Services, and as part of





their mission, they find and disseminate funding opportunities both through a newsletter and personalized

searches, as well as provide writing support. They also provide funding for honoraria to external reviewers so that faculty can get peer review before submission. "This year, we will embark on a formal Early Career program for new faculty members," says Stearney.

Formal faculty development programs can be found in several universities. University of Missouri has a long-standing Faculty Writing Institute, and Utah State University runs a Proposal Writing Institute. This support sometimes comes with incentives. At the University of New Hampshire, an internal grants program is coupled with formal grantsmanship support in a program called "Up2NIH". This is a year-long program of monthly seminars and hands-on workshops, and selection for the program is competitive. It begins with a \$15,000 internal award to generate preliminary data, and participants are supported in writing an NIH application. Kathy Cateno, the Director of Research Development and Communications at UNH, says, "Our program strategy focuses on thinking through how to put together a competitive application, not just the science portions."

Faculty development programs can be centered within the research development office, or can be undertaken in partnership with other areas of the university. At Tufts University, the Office of Proposal Development holds workshops on writing strategies for grant proposals, as well as strategies for team building and team science with a focus on developing proposals, developing strong peer review skills, and strategies for finding funding. Director Amy Gantt says, "My office also collaborates with the Clinical and Translational Science Institute (CTSI) to offer a 5-week workshop focused on developing a 'specific aims' or equivalent page, offered to faculty and post-docs, and in some cases advanced doctoral students."

Faculty development can cover more than just grant writing. "We also promote Honors and Awards for which our faculty members are eligible, and assist with letters of nomination and self nomination, reviewing CV's, and interpreting guidelines," says Stearney. Faculty members with such awards on their CVs are more competitive both for their individual grant applications, and for the larger, team-based applications. Raising the national profile of faculty members is one aspect of the kind of strategic planning that goes into a good research development office.

While building the office at Tufts, the need for strategic planning became clear as we worked on the larger proposals. Reviewers find it more convincing when they read about existing structures and practices than when they read about plans to create them. Similarly, teams of researchers with a track record of working together have a better chance of convincing reviewers that a large project or center will succeed. For example, if a large funding opportunity had a community outreach component, the application would be more competitive if the university already had infrastructure to support community engagement. Sometimes small investments can create needed university structures, and someone with an overview of the entire university and a solid familiarity with large, federally funded programs can offer strategic advice on where to place such small investments.

Strategic analysis and planning must always start with the larger goals of the upper administration. Although there are exceptions to every rule, in my experience, research development does not thrive well when placed under research administration. To quote the vice-chancellor for research at a major state institution: "You don't put *creation*

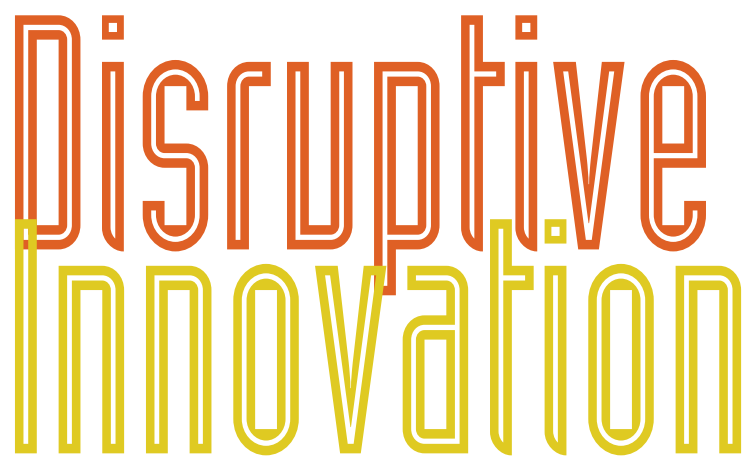
and *regulation* under the same heading." Talented directors of research administration may not yet understand how the approach differs from the regulatory support provided by offices of sponsored programs. "When I was director of sponsored programs, we had a research development position," says New Hampshire's Cateno, "but it didn't get the respect and support it deserved. The upper administration did not see the value for the longer-term development of faculty until it became a separate unit."

Holly Falk-Krzesinski, the founding director of Research Team Support and Development at Northwestern University, once floated the ideal research development team. It would consist of a Vice Provost level leader to set institutional priorities, a Director of Research Development to manage the team, grant writers with advanced degrees in a quantitative discipline to help write the proposal, administrative support for gathering information such as biographical sketches and tracking the project, and research administrative support for creating budgets and satisfying regulatory requirements. A true 'dream team' would also have graphic artists and copy editors available, and staff devoted to outreach. In most institutions, the team members wear many hats, but with good planning it can all come together in a competitive proposal.

Institutions that have created this capacity—no matter if it started as support for high-value proposals, faculty development, or strategic planning—consistently find that it adds value. Oregon's Lynn Stearney sums it up nicely: "No one else is paying as much attention as we are, on a daily basis, to what is happening both 'in here' and 'out there' in the world of research and funding." ■



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By Roger Feeley

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The Opportunity

Declines in federal and state research expenditures, and heightened efforts to commercialize intellectual outputs have spurred universities to allocate greater enterprise focus toward industry sponsorship (Lieszkowsky, 2012; National Research Council, 2012).

This industry-focus is not without its challenges though, as synthesizing the divergent university–industry cultures while still respecting each entity’s immutable limitations can be quite an undertaking. Moreover, each entity’s engagement-champions may have to overcome their own entity’s internal political and cultural resistance to such partnering. Nevertheless, a field-focused industry-pivot may be a crucial and timely move given that disruptive technologies alone are predicted to have an annual economic impact of between \$14 trillion and \$33 trillion by 2025 (Manyika et al., 2013). Positioning the university on a course to intercept industry’s development of these technologies will create nearer term opportunities to share in the creation process while ensuring the longer term relevance of the research enterprise to industry through the development of mutually beneficial relationships.

The Theory

A disruptive innovation can be described as one that has “the potential to disrupt the status quo, alter the way people live and work, rearrange value pools, and lead to entirely new products and services” (Manyika et al., 2013, p.1). Simply stated, a disruptive innovation is a product or service that either addresses a market not previously

served (a *new-market* disruption) or offers a simpler, cheaper, or more convenient alternative to an existing product or service (a *low-end* disruption), or does both (a *hybrid* disruption) (Christensen & Raynor, 2003; Rachleff, 2013). But the crux of the disruptive innovation theory is not the product or service itself, rather, it is the business model behind its deployment (Rachleff, 2013). Indeed, for an innovation to be disruptive, it must offer something to the marketplace that incumbent competitors are unable (or unwilling) to respond to because their business models cannot adapt to the disruptor’s strategy; and this is exactly what gives a disruptive innovation its incredible potential (Christensen & Raynor, 2003).

The Status Quo

The value of a disruptive strategy is that its implementation can utilize an institution’s existing assets and capabilities, albeit in a novel orientation, to engage unserved markets and/or the low end of over-served markets wherein the institution is able to run free without competition. However, current university strategies are often focused on “building a better mousetrap” in their efforts to engage with industry—a strategy known as sustaining innovation (Christensen & Raynor, 2003). While this approach has its own great opportunities (the discussion of which is beyond the scope of this article), it also presents problems for many resource-lean research enterprises in that if such an enterprise creates and attempts to deploy a better product or service into the established market to capture more customers, the competing enterprises will be motivated to respond (Christensen & Raynor, 2003). Once mobilized, resource-rich enterprises are likely to reclaim the lost business and re-establish their dominant presence, thereby limiting the return on investment for the resource-lean enterprise while hindering its growth prospects (Christensen & Raynor, 2003).

The Mindset

Without question, universities and industry-entities have fundamental differences; however, in a quest to more fully engage, modeling a successful business strategy is an excellent step, even if the value is limited to disrupting perceptions of what is possible, to wit: the creation of a disruptive mindset. Rather than viewing the immutable aspects of the university structure (e.g. status, mission, academic freedom) as limits on what can be achieved, revisit the perspective and consider the university as a platform preloaded with intellectual capacity and immense functionality just ready to be tapped (does that sound like the cloud?). Ask questions, lots of questions. What is it that my university can do that no other university can? What makes us special, vital, important, and unique? How can our existing strengths get us to where we want to be? What will our research enterprise be focused on in 2025?

The Take-away

Universities have an astonishing breadth and depth of resources, from physical plant to intellectual capital to administrative infrastructure, and these strengths are key components in crafting a new engagement strategy. Thinking of the research enterprise as a platform and realizing that it has great latent value in its capital assets and intellectual talent opens the way to think about both sustaining and disruptive innovations that might well drive growth. Importantly, a disruptive strategy can work with a university’s existing assets. All that remains is for the engagement-champions to reassemble them in an innovative fashion. Imagine the possibilities afforded by chasing disruptive innovations with a disruptive engagement model that on-boards and through-puts innovative technologies by partnering with the disruptors poised for success. ■

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The '411' on SOPs: How to Standardize your Processes in 2014

By Laura Lindley

each office's expertise lie? Which activities were duplicated and required streamlining? Where was cross-training needed? With so many questions, there was probably no better time to revisit all our office processes to find an efficient structure. We hired a consultant to guide us, and then got to work. In the end, one of our key accomplishments was a set of "standardized operating procedures." Armed with SOPs, we were able to provide more consistent service to our campus partners, and we were able to streamline the process of onboarding new staff. While most offices won't embark on a project of this scale, any office can benefit from standardizing one, two, or a few of its key processes.

What is a Standard Operating Procedure?

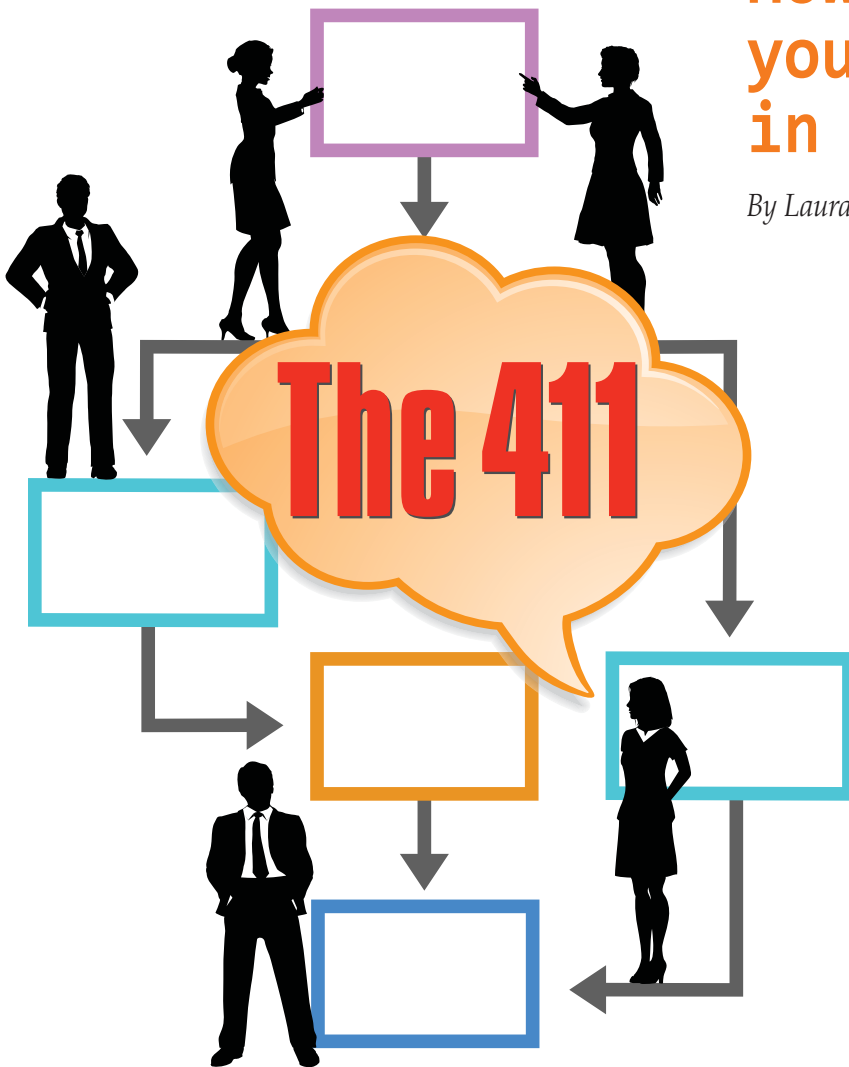
There are many definitions for standard operating procedure. The details and specifics of the definition tend to be determined by the industry. For our purposes, let's define an SOP as a document that provides detailed instructions for performing a specific, recurring activity. It is a written record of the steps in the process. A well-written SOP helps us perform our tasks as efficiently as possible while following our policies. It's a step-by-step guide based on best practices, and it's a living document that can be revised and updated as the processes, workflow, office structure, and electronic systems grow and change.

Why should you write SOPs?

At UChicago we expected to benefit from SOPs in two areas based on feedback from campus partners – operational consistency and training opportunities. These are most likely universal issues in Sponsored Projects, and you have probably heard similar comments on your campus as well, particularly if you are decentralized. Consider proposal review as an example. A Sponsored-Projects office may have multiple individuals involved in reviewing proposals. The basic fact that we are not robots can result in inconsistency. Also, our stock response of "it depends" means there may be several "right" – and "wrong" – ways to approach any task. These may combine to create confusion among your campus partners. If they find that the type of comments and turn-around time vary with the reviewer they are assigned, it will undermine their faith in the capability of the office overall. Well defined procedures provide a common target for everyone to aim for, and decrease the chances of catching an auditor's eye.

It's that time of year when many New Year's resolutions have fallen by the wayside. Or, perhaps you made no resolutions, opting instead to march into 2014 as you did the previous year. Well, it's not too late to resolve to consider standard operating procedures (SOPs). It may seem counterintuitive that a sponsored projects office would attempt to standardize. Every day brings something new, and it often feels as if there is nothing standard about our work. Every question is answered, "It depends." However, it is possible, and the complexity of the activities is just one of the many reasons why it is so important to do so.

In the fall of 2008, the University of Chicago merged a divisional pre-award office into its central sponsored project office. This was no small undertaking, and there were many questions. Where did



SOPs are among the most effective training tools you can develop in a Sponsored Projects office. Too often, training new staff is itself an inconsistent activity. The newbie will get one or two face-to-face discussions on a particular activity with a mentor and then have to learn from a multitude of trial-and-error situations. The sink-or-swim approach has some merits; so many of our more complicated concepts truly come into focus only with time and experience. That said, SOPs that document the basic steps lay a much more solid foundation for the knowledge brought by time and experience. The key concept is “standard”. There will always be deviations and exceptions to the rules, and this should definitely be communicated to the trainee. However, accessible, standard procedures will allow the trainee to focus more time and attention toward grasping the non-standard concepts and scenarios. Similarly, SOPs also relieve the burden on the trainer. With written standard processes, the trainer can devote more time to the complicated, non-standard issues and to teaching concepts rather than steps.

How do you write an SOP?

In their simplest form, SOPs are nothing more than a set of step-by-step instructions for performing a particular task. Once you have decided to write an SOP for a process, you determine the optimal steps and then document them in a standard way (format). There are a number of ways to approach them. At UChicago, we developed SOPs following a process improvement exercise related to the office merger. We looked at all processes and identified their steps on process flowcharts. Next, we focused on each process and reviewed its steps to determine whether they made sense. Unnecessary and redundant steps were removed to streamline each process.

It is a significant task to take on both SOPs and process improvement at the same time. If you are in a position to do so, it is highly recommended. However, if you don't have the resources to undertake a major reorganization, you can still benefit from the SOP development activity. SOPs can be produced with minimal staff and resources – as few as one or two staff members can document your important procedures. The key is to involve **all** the folks who actually perform a procedure or process, whether in writing the draft, the reviewing/testing the draft SOP, or both. Buy-in and ownership are critical. I recommend assigning an

individual to “own” each SOP. That individual can then draw on colleagues to provide feedback and suggestions as the SOP develops. Each SOP should go through at least two drafts, before it is finalized. You will still find a level of process improvement occurring at this stage of the process. With this approach, you will also have the opportunity to involve more of your staff than with the committee approach. With smaller review teams for each SOP, everyone will have the ability to be involved with at least one SOP. Whenever possible, choose team members based on specialization.

The format of an SOP can vary greatly depending on your needs, organizational structure, size, etc. At a minimum, it should identify/include the following: the Staff Performer (who will perform the activity); the Resources (what resources are needed to perform the activity); Definitions (define all acronyms and terms used); the Script (describing how the activity will be performed); and finally, the Approval Date and any amendment dates. Based on the UChicago experience, I've also found the following to be important when it comes to drafting an SOP:

1. Write as clearly and simply as possible.
2. Cover all possible actions in the steps.
3. Aim for a level of detail that provides adequate information to keep the activity consistent, while keeping the documentation from becoming impractical; focus on the procedure, not policy.
4. Make the steps rigid enough to communicate one standard procedure, but flexible enough to allow for non-standard exceptions that cannot be documented.
5. Consider each activity as part of a continuum. The outputs of one activity will be the inputs or resources for another.

Which procedures need SOPs?

Frankly, it depends! What is your organizational structure? Are you in a pre-award office only? What are your core processes? Do you perform a service for campus partners? If so, are those services represented in the SOPs? Consider your key functions – these are most likely the ones that should be standardized and documented. At UChicago, we determined which functions required SOPs in the context of process improvement, through which we mapped all of our processes and identified the key ones. As you begin to consider which of your

activities to document, start with your main function (e.g. pre-award administration). Then, think about the things you do on a daily basis (e.g. identify funding opportunities, develop budgets, review proposals, etc.) Finally, drill down to list all the different scenarios for a particular activity, such as proposal review. You may find that your work breaks down into groups like “federal”, “non-federal”, and emergency. Just like that, you have identified the major sections of your proposal review SOP. For a sponsored programs office, the more obvious candidates follow the lifecycle of a grant and include letters of intent, just-in-time submission, award acceptance, progress reports, extension requests, and closeout.

Conclusion

SOPs can help you standardize work processes to make your operation more consistent and efficient. They can also serve as a basic training tool for your staff. Aside from these benefits, the actual exercise of writing SOPs gives you a chance to step out of your daily routine, to think about how you get your work done, and to imagine how you might do it better. So, go ahead – give it a try. There is much to gain, and your campus partners will thank you! ■

Resources

A quick search on Amazon.com will yield more than two dozen titles devoted to policy and procedure-writing and SOPs of one form or another. There are also many books on flowcharting and process mapping. The following may be useful as you consider or plan your own SOP writing:

Writing Effective Policies and Procedures: A Step-by-Step Resource for Clear Communication, Nancy Campbell, AMACOM, New York, 1998.

The Basics of Process Mapping, 2nd ed. Robert Damelio, RC Press, Boca Raton, 2011.

Establishing a System of Policies and Procedures. Stephen Page, Companymanuals.com, Houston, 2012.



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56th Annual Meeting Workshops Sunday, August 10, 2014



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of Research Administration

Facing the Future...Together

August 10-13, 2014 - Washington, DC

By Denise Moody and Pam Whitlock

NCURA's 56th Annual Meeting (AM56) *"The Evolution of Research Administration – facing the future...together"* will recognize the ever-changing regulatory and funding spectrum we encounter as research administrators and provide knowledge and resources needed for everyone to successfully support their institutions' research. The workshops scheduled for this year's meeting will meet the needs of a wide variety of members in order to fulfill the meeting's theme – from those members who are experts in their respective knowledge fields and need a safe forum to exchange senior-level policies or ideas, to members who need to brush up their skills in order to venture into the next level of research administration, or to newer members who are seeking a fundamental knowledge base and would like to initiate new relationships with their peers that will serve as an essential support network throughout their research administration careers.

Thirty-five (35) workshops are planned and will include three (3) full-day, comprehensive sessions on pre-award, post-award, and departmental administration. These traditional full-day offerings will provide a more fundamental overview for our members who may be newer in their research administration career or have recently transitioned into a new role at their institution.

In order for our workshop attendees to have more flexibility in planning their day, participants may select a morning and afternoon workshop in two different subject matters, or they may elect to participate in one of eleven (11) "pairings" that will enable the participant to follow a theme throughout the workshop day. Faculty in each of the themed pairings will coordinate closely in order to ensure continuity between the two sessions. We are very excited about new **hands-on** offerings *"Using Excel for Budgeting"* in the morning and *"Using Excel for Post-Award Grant Manage-*

ment" in the afternoon; attendees must bring their laptop computers and be prepared for a very interactive session where they can use the lessons learned immediately. Through creative scheduling, the eleven (11) paired morning and afternoon workshops will begin with a basic or intermediate overview, which will evolve into more advanced sessions in the afternoon for those who want to delve more deeply into the subject matter.

The remaining thirty-two (32) half-day sessions cover a wide variety of levels and subject matter focus range from basic to advanced, pre-award to post-award, Predominantly Undergraduate Institutions to medical schools and other universities, and basic to complex compliance topics. As research administrators, it's pro forma to have a new requirement given to us each year. This year's "buzz topic" is the Office of Management and Budget (OMB) Super Circular, which combines requirements from OMB Circulars A-21, A-110,

and A-133, as well as A-50, A-87, A-89, A-102, and A-122. In addition to the basic-level OMB circular overview offered in the morning, we will offer *"Building Bridges: A Crosswalk to the New OMB Circular"* in the afternoon.

For our members who seek more knowledge about working across national borders, there will be two offerings: one for international participants on how to collaborate with U.S.-based institutions and the second for domestic participants on how to collaborate with international institutions. Additionally, two Senior Forum workshops will enable senior-level managers and executives to interact with each other confidentially under the "dome of silence" (registration will be limited). Finally, don't forget the ever-popular and always informative NIH Workshop to be held on Thursday, August 14, 2014.

Registration for AM56 will open in April. You don't want to miss the opportunity to be a part of this year's *Evolution of Research Administration—Facing the Future...Together!*



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Pam Whitlock is AM56 Workshop Co-Coordinator and served as Director of the Office of Sponsored Programs at The University of North Carolina at Wilmington. She can be reached at whitlock.pamela@gmail.com

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How to Implement OMB's Uniform Guidance – A Major Research University's Plan

By Sara Bible

Now that the Office of Management and Budget (OMB) has issued the “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards” (Uniform Guidance) (2 CFR Chapter I, Chapter II, Part 200, et al.), institutions will need to interpret the guidance, review and revise policies, procedures and training for implementation in December of 2014. The regulatory reforms are sweeping in that they include, but are not limited to operational areas from pre and post Federal award requirements to cost principles, and audit requirements. While OMB combined eight circulars into one document, for higher educational institutions, the Grant Reform effort replaces OMB Circulars A-21, A-110 and A-133.

Revising policies, procedures and training for all of these areas in less than one year is an enormous charge for institutions. An effective first step is to thoroughly review the Uniform Guidance to understand what has changed. A short cut to understanding what has changed is to read the Major Policy Reforms section in the Summary, as it will help institutions to understand the intent of OMB and the Council on Financial Assistance Reform (COFAR) for the changes in a variety of sections. Then refer to the applicable section for the full text. COFAR webinars and FAQs will provide additional information about the regulations and their appropriate implementation. The Council of Governmental Relations (COGR) is also issuing “first looks” that summarize the regulatory change and whether the outlook of the change is positive or negative for its constituent institutions. It will be critical to work with COGR, FDP and NCURA colleagues to interpret the new regulations and implement effective policies and procedures.

The regulatory changes are so comprehensive that an “all hands on deck” mentality will be needed for successful and timely implementation of revised policies, procedures and training. Several years ago Stanford

assembled a group of school and central administrators to proactively review and consider changes to current policies and to review regulatory changes, consider their impact on the research community and implement compliant solutions. The focus is on compliance while minimizing the burden on faculty and administrators. The Research Policy Working Group (RPWG) meets on a monthly basis and will be vital in Stanford's implementation of the Uniform Guidance. Stanford's Director of Training and Communication is a key member of the RPWG and aids the process by challenging the group to write policies that are clear and concise, and that both initial and ongoing training needs are thoughtfully considered and developed throughout the process. The RPWG members that are school representatives take the draft policies and implementation plans back to their faculty and staff for a “road test” to see if they are understandable and can be reasonably implemented. It is critical to obtain input from faculty and administrators on the implications of potential changes in policies and procedures before they are finalized to ensure a smooth and compliant implementation. This method has proved to be successful at Stanford for the past two decades. The extra time spent with the community prior to issuing the policy pays off when the policy is promulgated. Stanford's faculty leadership and the RPWG are poised to take on the responsibility of implementing the regulatory changes within the Uniform Guidance.

Stanford has developed a matrix of the regulatory changes that includes the following:

- ✓ A-21, A-110, or A-133 section
- ✓ Uniform Guidance section
- ✓ Current Stanford policy
- ✓ Staff member responsible for initial edits to current policy

GUIDANCE SERIES

2 CFR PART 200

Editor's Note: A Top-100 research institution sent this initial list of concerns in terms of implementing its plan for The Final Guidance.

■ Subpart B – General Provisions:

§200.112 Conflict of Interest: This requires reporting COIs back to Federal Agencies. The Agencies must develop their own COI policies, which will most likely vary by agency.

■ Subpart D – Post-Award:

§200.303 Internal Controls: Given the importance of this section throughout the guidance, but in relation to §200.430(i) below in particular, institutional review of the best practices in the “*Green Book*” issued by the Comptroller General of the U.S. and also the “*Internal Control Integrated Framework*” issued by COSO, will become essential.

§200.308(c)(5), §200.68 and §200.75 Participant Support Costs (PSCs): These three sections combine to make PSCs an explicit exclusion from MTDC, and a “protected category” in approved budgets (i.e. re-budgeting approved PSCs to other direct costs will require prior approval, as has been the case with NSF).

§200.331 Requirements for pass-through entities: The list of “must” items for subrecipi-

ent monitoring is very important to review closely.

■ Subpart E – Cost Principles:

§200.413(c) Direct Costs: This provides a 4-point test for charging clerical & administrative salaries as direct costs. They must be: integral, specifically identified, explicitly-budgeted or prior-approved, and not also recovered as IDCs.

§200.430 Compensation—Personal Services: Definitions of IBS, Intra-Institution of Higher Education (IHE) Consulting, and Extra Service Pay may have implications for institutional excess compensation policies.

§200.430(i) Standards for Documentation of Personnel Expenses: Deletion of the specific effort certification examples from A-21 raises possibilities for alternate streamlined payroll certification systems in compliance with the provision of this section. (“Charges to Federal awards for salaries and wages must be based on records that accurately reflect the *work performed* ... supported by a system of *internal control* which provides reasonable assurance that the charges are accurate, allowable, and

properly allocated and *reasonably reflect the total activity* for which the employee is compensated”).

§200.431(i) Fringe Benefits: This section could create significant change in accounting for unused accrued leave “when a non-Federal entity uses the cash basis of accounting, the cost of leave is recognized in the period that the leave is taken and paid for. Payments for unused leave when an employee retires or terminates employment *are allowable as indirect costs* in the year of payment.”

§200.453(c) Costs of computing devices: Charging of computing devices as direct costs is allowable for devices that are *essential* and *allocable*, but *not solely dedicated*, to the performance of a Federal award.

§200.415 Required certifications: Adds a new layer of False Claims Act related certifications for annual and final fiscal reports or vouchers subjecting the certifier to potential penalties if done incorrectly. Please note the certification must be signed by an official who is authorized to legally bind the nonfederal entity.

✓ Impact to research community

✓ Implementation Issues

The matrix will be used and updated beginning in the exploratory stages of the review and interpretation of the regulatory reforms and through the policy development, training and implementation phases. With a long list of changes in regulatory requirements it will be important to prioritize what policies need to be addressed early in the process as some of the regulatory changes may require changes to the chart of accounts or accounting systems.

The Federal awarding agencies are required to submit drafts of their implementing regulations to OMB by June 2014. Stanford will take the various new implementing regulations into account as its policies, procedures and training are developed and promulgated.

Fall 2014 will be spent training research administrators on the regulatory changes and revised policies and procedures. Stanford will hold “Road Shows” for schools, departments, and cen-

tral administrative units. Faculty Forums that condense the information to what is critical for faculty to understand will be held. Based on the feedback received at the various Road Shows, FAQs will be developed and published to provide additional clarification and guidance. Road Shows will continue into winter 2015 in order to address potential issues that are encountered as the regulatory changes and policies are implemented. The RPWG will be essential in bringing implementation issues to the forefront so that they can be resolved.

Stanford, like other institutions of higher education will continue to look to COFAR, COGR, FDP and NCURA for further guidance in the implementation of OMB's Uniform Guidance. ■



Sara Bible, Associate Vice Provost for Research at Stanford University is an active member of COGR, FDP and NCURA. Sara's responsibilities at Stanford include policy development and implementation, and financial and administrative oversight for 18 interdisciplinary research laboratories, institutes and centers, and several shared equipment facilities. She can be reached at sbible@stanford.edu

The OmniCircular: Key Issues for Universities

Webcast
May 14, 2014, 1:00 – 3:30 pm EDT

After two years of discussion and debate, the OmniCircular was released on December 26, 2013. The OmniCircular, or OmniGuidance, consolidates eight OMB circulars into a single document and changes some important concepts underlying the management of sponsored programs. Research administrators across the country have been reading, highlighting, flagging and tagging the OmniCircular, while also trying to determine how the new material applies to our institutions. There has been considerable analysis to date, and this session will target information that universities need to understand about what the Guidance means and how it will affect our current policies and business practices. Is there still effort reporting? Can we buy iPads and laptops? Do we still have title to equipment vested in universities? How do we monitor subrecipients? Do we have to change the way we charge fringe benefits?

The panel will provide current information about interpretations of those questions and many others. This guidance is the single most significant change in research regulations in the last 50 years. Please join the panel for a review of its key elements.

Registration Details Coming Soon!

Learning Objectives:

- ✓ Participants will gain an understanding of the new OMB guidance on sponsored programs administration
- ✓ Participants will learn how the guidance may change their business practices
- ✓ Participants will learn what to expect in the next year as a result of this new guidance

Moderator:

Kim Moreland, Associate Vice Chancellor for Research and Sponsored Programs, University of Wisconsin – Madison

Panel:

Michelle Christy, Director, Office of Sponsored Programs, Massachusetts Institute of Technology

Mark Davis, Vice President for Higher Education, Attain

Cindy Hope, Assistant Vice President for Research and Director, Sponsored Programs, The University of Alabama

David Kennedy, Director of Costing Policies and Studies, Council on Governmental Relations

Jim Luther, Assistant Vice President, Research Costing Compliance, Duke University



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SPONSORED RESEARCH ADMINISTRATION: A Guide to Effective Strategies and Recommended Practices

This two-volume *comprehensive reference* covers all major areas of sponsored research with *more than 20 chapters* written by *experts averaging over 30 years' experience*. The *2000+* page publication includes essential principles and practices, features sample policies and procedures, practical tools, statistics and survey results, and extensive supplementary materials.

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- ✓ Subawards
- ✓ Special Issues for Medical Schools
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- ✓ Data Rights and Intellectual Property
- ✓ Legal Considerations
- ✓ Post-Award Administration
- ✓ Export Controls
- ✓ Interactions with Auditors
- ✓ Information Systems
- ✓ International Research Collaborations
- ✓ Training and Education
- ✓ Leadership Development
- ✓ Communication

REFLECTIONS FROM COUNSEL

As a lawyer in the grants and contracts practice of a law firm with 40 offices around the globe, who with colleagues from Jeddah to Johannesburg has advised on sponsored projects at dozens of foreign outposts, I see firsthand the complexity of transnational initiatives. Myriad institutions are engaged in public health research, technical assistance, and capacity building projects abroad, and although for each of them the greatest and most important challenge is achieving the program's scientific and technical aims, each must also solve another very practical problem — how to implement a legally compliant operation in a new or unfamiliar part of the world.

Following are lessons drawn from observation and experience with sponsored projects that involve foreign on-the-ground activity. The lessons identified here are broad, in that assorted business and legal considerations may influence the approach to any one compliance area. As such these reflections are illustrative; they hardly exhaust the twists and turns that arise in foreign transactions. But perhaps this discussion will serve to remind and inform the administrator of principles that underlie professional judgment in these projects.

■ *Where projects proceed in an oversight vacuum, trouble usually follows.*

Consider this scenario: Recently an organization undertook to inventory its foreign on-the-ground activity. It learned that a principal investigator (PI) had contracted two dozen foreign nationals to work on a sponsored project in a remote African village. Upon knowledge of these contracts, the general counsel engaged host country advice and learned that, under local law, to issue such contracts was subject to a substantial daily fine. What ensued was a hectic scramble to obtain proper local documentation, to understand why it was omitted, and to articulate a corrective action plan to the organization's fiduciaries. It's tough enough to monitor projects at home; to manage activity seven times zones away demands an intensive governance strategy.

■ *Respect the “doing business threshold.”* To administrators long experienced in foreign projects, discussion of this topic is a broken record. But incredibly, some institutions still plunge headlong into boots-on-the-ground projects without consideration of foreign “legal status”—i.e., foreign business registrations, licenses,

or other permissions to conduct programs in a host country. The consequences are startling. Increasingly evident is the ability of foreign regulators to discover (often through mysterious means) an institution's blind eye to registration and related tax and employment law. Penalties often follow. It would be hazardous to assume that nonprofits enjoy “grace periods” for noncompliance. Activities that trigger registration obligations or other legal status in the host country may include, among others:

- Employing foreign nationals, or posting U.S. employees to positions there
- Executing a lease for office space, or owning real property
- Opening a bank account
- Dispensing medications or controlled substances
- Purchasing equipment, vehicles, or insurance for these assets
- Enrolling subjects into a clinical study

■ *It takes only one employee.* Engaging just one foreign national abroad, or posting just one U.S. citizen to a foreign country, may trigger financial and legal obligations there. As a general

rule, host country employment law applies to foreign nationals and to U.S. expatriates assigned to foreign positions. It may then seem convenient to engage overseas staff as “independent contractors” or “consultants” as opposed to employees, to avoid entanglement with foreign labor law, overseas payroll, and tax withholding. But this can be a trap. Many countries disregard the “contractor” designation if the substantive arrangement between the parties suggests that an employment relationship exists. Mischaracterizing the relationship has generated fines and unpleasant proceedings. Similarly, foreign HR-related documentation such as “Staff Manuals” and “terms of service” are ripe for dispute when drafted without inquiry into local labor law.

■ **Carefully structure separate legal entities.** Increasingly, public and private institutions structure foreign activity through the incorporation of a wholly-controlled affiliated legal entity—i.e., a special purpose entity (SPE)—in the United States or in a foreign country. SPEs may serve an important function. Experience with and observation of these SPEs suggests that (a) various factors motivate their establishment, including legal, business, organizational, administrative, social, cultural, and diplomatic considerations, and (b) the weight afforded to any particular consideration may vary depending on the nature of the program and the risk entailed. Operation through a SPE, or Federal funds awarded directly to a SPE, raises important but manageable federal grants and contracts compliance implications, including implications for direct and indirect cost recovery. Related to this is the next observation.

■ **Foreign costs attract special attention.** Unique costs in international projects include, among others, foreign housing and living expenses, value added taxes, consular and visa fees, currency fluctuation, relocation, security, and severance payments to foreign nationals. Allowability of these costs may differ across sponsors and within sponsors. Where allowability is ambiguous, grantees have not enjoyed the benefit of the doubt from sponsors. The new OMB Supercircular offers new or revised guidance on some of these costs. For example, pursuant to the Supercircular, housing allowances and personal living expenses—which may be customary benefits to expatriates and foreign employees—apparently will be allowable as direct costs only if

expressly approved in advance by the sponsor. This may merit changes to the way such costs are identified in budgets.

■ **Evaluate and monitor foreign collaborators.** Issues have been traced to unwarranted assumptions about the suitability of prospective collaborators. Typically, it’s useful to know in advance that your proposed partner is financially distressed or embroiled in a lawsuit with another nonprofit. Due diligence on foreign entities is possible through public searches, discreet reference checks, and even investigative firms, none of which are necessarily expensive or time-consuming. Often these checks yield precious information on the counterpart’s reputation, motivation, business experience, and finances. Linked to this is the foreign subrecipient monitoring process—a classic “easier said than done” situation, but evidence of which is increasingly demanded by federal sponsors.

■ **Tailor cross-border contracts.** It’s tempting to repurpose domestic-focused templates for overseas research and other activity. But the result may be contract or subcontract terms that are impractical, unlawful, or barely comprehensible to foreign parties. Take, for example, a simple “termination for convenience” clause. Various foreign jurisdictions do not recognize a termination for convenience concept. To maintain the clause may call into doubt the transaction. Flowdown of sponsor terms also merits care. Consider carefully a claim that flowdown is achieved through simple attachment of the prime award to the subaward. Having participated in many compliance inquiries involving foreign counterparts, I can attest to the importance of clear and comprehensive subcontract terms in cross-border agreements.

■ **Anticipate aggressive data privacy law.** Sensitive information routinely is generated or collected abroad in connection with foreign employees or clinical projects. But institutions are often unprepared for robust data privacy regimes, particularly in Europe and Asia. Unlike U.S. law that tends to protect data only in certain industry sectors (such as FERPA for education or HIPAA in healthcare), foreign data privacy law may apply broadly to all personal data. Strict collection, processing, and use rules can apply. The concepts of “processing” and “use” may cover

nearly anything one can do with information that relates to an identifiable natural person, including the transfer of data to third parties or to the United States. Certain categories of personal data, such as racial or ethnic information, political opinions, religious or philosophical beliefs, trade-union membership, and health data may be subject to special protection, particularly in Europe.

■ **Scrutinize awards from foreign governmental and non-governmental sponsors.** Institutions have paid a heavy price for failure to grasp the terms of foreign sponsors. This lack of knowledge figures especially where subordinate administrators hesitate to second-guess ambitious PIs who crave new funding for their work. Fundamental questions deserving of early inquiry include, for example: Are the intellectual property terms consistent with our expectations? What kind of financial audit is expected? May we record effort in percentages? Will we be paid in foreign currency or U.S. Dollars? How will currency fluctuation affect the final amount? Are we subscribing to foreign tax obligations?

■ **Legal advice from non-lawyers is risky.** Amazingly, some organizations take as sound legal advice anecdotal assertions offered by local contacts, such as “This is the way it’s usually done.” Foreign law advice should come only from trusted, reputable counsel. Beware of lawyer lists supplied by embassies or memberships in legal alliances, which do not necessarily establish credibility or capability. Place a premium on appropriate experience, responsiveness, and transnational standing.

All told, trial and error can be costly. The array of foreign project issues astonish even the most experienced institutions. Myriad more topics, from export control to immigration to bilateral treaties, are worthy of mention here. Though the compliance issues are many and outcomes are not perfect, globalization is imperative in the modern research environment. And so we endeavor to appreciate the risks entailed. ■

Bill Ferreira practices in the Federal Grants and Contracts Practice of Hogan Lovells, a global law firm that advises colleges and universities. Bill received his law degree from Georgetown University and his undergraduate degree from the University of Notre Dame. Bill is based in Washington DC and can be reached at william.ferreira@hoganlovells.com

Scholarly and Research Enterprise

By Kristine M. Kulage

Having spent the last 18 years as a research administrator (RA), I am a firm believer that, as RAs, we are not only capable of supporting our faculty in their pursuit of external funding for conducting research, but are poised to also play a vital, value-added role in helping to grow our school or department's overall scholarly and research enterprise. For RAs who constantly seek ways to expand their duties, make themselves more valuable to their faculty, and enhance their careers, branching out into offering services that go beyond the basic nuts and bolts of pre- and post-award management can be personally and professionally fulfilling. As I've witnessed firsthand, it can also "wow" your faculty. In this article, I present strategies I have enacted as Director of the Office of Scholarship and Research Development (OSR) at Columbia University School of Nursing (CUSON) which are aimed squarely at growing the school's scholarly and research capacity. Admittedly, some of these strategies emanated from my own unique skill set; however, depending on your department's staff, resources, and skills, you may find implementation of one or more of these strategies within the realm of possibility if you are actively striving to expand the services your office provides or coordinates

Growing the Research Enterprise: Increasing Grant Funding

Research Listserv—The most basic and least time-consuming way in which an RA can play a part in increasing a school or department's grant funding is by creating a research faculty listserv. Through this listserv, an RA can quickly get messages out to researchers about late-breaking changes in the field, new calls for grant proposals, and other opportunities for funding. Rather than sending out messages piecemeal to individual faculty members, or relying on senior faculty or an Associate Dean for Research to do so, volunteer to be the point person for coordinating the dissemination of important research-related communications. Doing this will not only promote compliance in applications, but may also alert faculty members to funding opportunities they may otherwise have missed. For example, I subscribe to multiple federal funding listservs (e.g., grants.gov) from which I receive weekly lists of important notices that contain information about changes in forms or submission requirements as

well as daily lists of newly-released funding opportunity announcements and requests for applications. I devote 15 minutes each morning to comb through these and, knowing my faculty well enough, I send my listserv relevant opportunities so they don't have to spend the time on their own. In fact, I can recall several funded grants over the past decade that were submitted as a direct result of my alerting the research faculty to late-breaking, fast turnaround calls.

SOAR Sessions—The ultimate quality of a grant application is dependent on sound, distinct, and feasible specific aims. Too often, grants are submitted with the fatal flaw of poor, unachievable, or nebulous aims, sealing their fate in the "unscored" pile. To address this issue, particularly for our junior investigators, the OSR developed the SOAR Session — **S**pecific **O**bjectives and **A**ims **R**evue. SOAR Sessions provide an opportunity for Principal Investigators (PIs) to discuss the strengths and weaknesses of only the aims of a proposed research project with 2-3 other faculty members. SOAR Sessions occur three months prior to the grant due date and only take 30-45 minutes. With

critical, unbiased input from other faculty members, SOAR Sessions can help researchers refine their aims early in the grant writing process so that time is not wasted writing the entire research strategy based upon unfundable aims. The OSR not only encourages faculty to request a SOAR Session early in the grant planning process, but also coordinates and schedules these sessions. Obviously, success of the SOAR initiative is dependent on faculty willingness to participate, and most are invested in the success of their colleagues.

Mock Reviews—The most time-consuming but most effective initiative coordinated by the OSR is the internal Mock Review. We try to conduct Mock Reviews in a fashion similar to the National Institutes of Health (NIH). Two faculty members are identified to serve as a primary and secondary reviewer, and it is helpful to have one of them familiar with the scientific field of study in the application and the other less familiar. This brings in the element of the perspective of a reviewer who may not be an expert in the field. Minimally, the project's Specific Aims and Research Strategy are shared with reviewers at least one week prior to the session. If it is a resubmission, comments are included from the prior review panel and the Introduction to the Revised Application section is shared. Reviewers come to the session prepared in the same way they would be if they were attending an NIH review panel, assessing the grant on the same review criteria, but scores are not given. The PI can choose whether to have an "open" or "closed" Mock Review session, but "open" sessions are encouraged because they not only allow other faculty members to learn about the research being conducted in the school, but also provide an opportunity for PhD students to observe the process. The PI (and research team members, if available) listens and observes from the back of the room during the one-hour session. S/he is not addressed during the presentation of reviews and is not allowed to

comment on proceedings until reviewers have finished providing their assessment. At that point, the PI is invited to join the group table, ask reviewers any questions, and address any concerns reviewers may have brought up. In addition, during this phase reviewers can give specific suggestions for fixing any methodological problems with the Approach section and other tips for strengthening the proposal. An OSR staff member attends the Mock Reviews, taking notes for the PI so that the PI can focus on absorbing the discussion and participating in the subsequent open conversation. If participants permit, the session is also digitally recorded for the PI. As with the SOAR Sessions, Mock Reviews require the time, cooperation, and dedication of other faculty members to ensure success. The benefits of the Mock Reviews go beyond improving the grant application; it not only gives junior faculty members a chance to “practice” reviewing grant applications in advance of actually becoming an NIH reviewer, but, when the Mock Review is open, PhD students who attend begin to learn the grant writing and review process.

Growing the Scholarly Enterprise: Increasing Research Dissemination

REX Seminars—While creating a listserv is the easiest way an RA can contribute to increasing grant funding, establishing a regular forum for sharing research findings is the easiest way to promote an increase in research dissemination in your school or department. At CUSON, the OSR runs a monthly **Reach for Research Excellence** (REX) Seminar which has been used for a wide variety of research dissemination topics. REX Seminars are typically offered during the lunchtime hour, and refreshments are provided. REX Seminars have been led by both junior and senior faculty members as well as pre- and postdoctoral fellows, trainees, and students. Faculty members are invited to present research findings from recently completed grant-funded studies; PhD students can present their ongoing work with their faculty mentors; and PIs are asked to share their results from internally funded pilot grants financed by the school. In addition, the REX Seminar is an ideal forum during which international visiting scholars can present their body of research which can lead to potential future collaborations with faculty. The greatest successes of the REX Seminar are its ability to function as a pipeline to promote ongoing dialogue between researchers and to

serve as a source of continuing education for all levels—faculty, students, and staff.

Writing Workshops—Based upon the training I received during my master’s program in English Composition, the first CUSON Writing Workshop took place in the summer of 2013. Centered on research manuscripts targeted to peer-reviewed professional journals, the Writing Workshop is a collaborative learning environment designed to improve the quality of the final piece of writing as well as present a model for a more effective individual revision process. In a spirit of mutual respect and peer support, Writing Workshop participants review and comment on each other’s manuscripts on a weekly basis. The typical size is 4-6 participants at the faculty and postdoctoral level, and one manuscript is reviewed each week during the course of one full workshop session. Participants are given one member’s manuscript a week prior to each session and they are tasked with reviewing it and identifying its major strengths, weaknesses, and one critical element to focus on in revision. Detailed comments are also provided to the author in hard copy or electronic copy with track changes. During each one-hour session, reviewers present their comments and the workshop leader (typically an OSR staff member) summarizes the major points and then facilitates an open discussion with the author. The OSR is currently tracking metrics to determine if this initiative results in more manuscripts being accepted for publication and/or a fewer required number of revisions prior to publication. The philosophy is that the Writing Workshop will help identify serious problems with a manuscript prior to being sent to the journal, thus increasing the overall odds of its acceptance and fast-tracking dissemination of research findings. As a testament to its ongoing success, the current Writing Workshop forum at CUSON has already been expanded to the school’s PhD and Doctor of Nursing Practice (DNP) curricula.

Conference Rehearsals—There are several annual scientific conferences for which CUSON has multiple faculty members and/or students giving oral or poster presentations (e.g., Eastern Nursing Research Society Annual Meeting) and, for some of our PhD students, this may be their first experience presenting research findings in a public forum. To help develop their skills, as well as create another forum for disseminating research findings, several years ago the OSR began coordinating formal Conference Rehearsal ses-

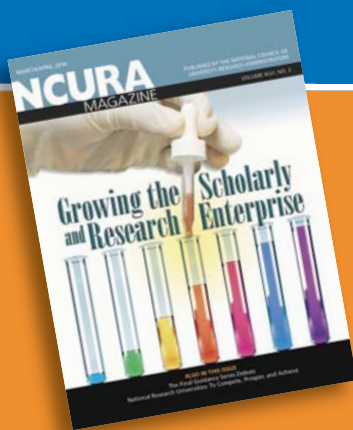
sions. Sometimes these rehearsals are held during a REX Seminar; other times they are stand-alone sessions. Rehearsals are open to the entire school, and attendees are encouraged to provide feedback on both content and presentation skills in order to improve oral or poster presentations prior to the conference. Rehearsing for a 90-minute talk which includes 3-4 speakers has proven particularly helpful as sessions are timed and speakers often learn they need to dramatically shorten—or lengthen their presentations in order to meet the allotted time frame. For poster presentations, a miniature version of the poster is given to attendees and author(s) is asked to summarize it in five minutes, simulating a conference attendee stopping by the poster and asking for more information. Conference Rehearsals are scheduled at least two weeks in advance of the conference to allow for time to edit PowerPoint slides as well as posters prior to sending them to the printer. These sessions are often the only way some faculty learn about the research being conducted by our PhD students, and students have a chance to calm their nerves by practicing in front of a friendly, supportive group of colleagues.

A New World of Possibilities

My particular situation at CUSON may represent the ideal environment in which to implement strategies for growing the scholarly and research enterprise. However, if you have access to resources required to begin offering or even just coordinating one or two of these initiatives, it may open the door to a new world of possibilities in your scope of services. Start small, as time and effort permits, and carefully track subsequent outcomes from your efforts (e.g., creation of a research listserv could result in an increase in the number of grants submitted; a writing workshop may produce more peer-reviewed manuscripts that are accepted on the first submission). As a result, you may soon be poised to suggest further growth in this area to your senior management, Dean, or Chairperson who may surprise you by their willingness to invest finances, resources, and personnel to continue to expand the functions of your research administration office. ■



Kristine M. Kulage, MPH, MA, is Director of the Office of Scholarship and Research Development at Columbia University School of Nursing, a Co-Editor for NCURA Magazine, and a member of the Editorial Board for the Journal of Research Administration. Kristine can be reached at kk729@columbia.edu



NCURA Magazine Seeks Co-Editor

The *NCURA Magazine* seeks applications for the position of Co-Editor. The position is a three year term, beginning January 1, 2015. The Co-Editors work with the Senior Editor, Contributing Editors, and NCURA staff in ensuring the timely release of six issues during the calendar year. Each Co-Editor works closely with 3-4 Contributing Editors. Applicants should be senior research administrators with strong writing and editing skills and strong connections within NCURA and associated professional associations (such as COGR, FDP, etc.). We expect to have a candidate selected by the end of the summer so that the new Co-Editor can work with the existing Co-Editors and Senior Editor, in ensuring an orderly transition.

Individuals interested in this position should initially email Senior Editor Dan Nordquist at nordquist@wsu.edu

Call for Traveling Workshop Faculty

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eRA = Electronic Enhancing Research Administration

By Pei-Lin Shi

With last year's sequestration, the federal government shutdown, and decreased funding, the research programs at many institutions of higher education have been negatively impacted. As a result, universities are strategizing on how to grow their research dollars to fend off this downturn. They are looking for creative ways to obtain funds for new and existing projects. What's the answer?

Many innovative initiatives are being considered or already in place according to three members of NCURA's eRA Community in Collaborate who described what they, and their institutions, are doing to improve things this year.

"Our awards are down, but proposals are up so we have high hopes," says MJ West, Electronic Systems Administrator in the Office of Sponsored Programs at the University of North Carolina-Wilmington. She administers the RAMSES system for proposal and award administration on her campus. It was developed and built by UNC-Chapel Hill for all UNC campuses. "Looking at our historical data, we ebb and flow about every four to five years and the sequestration and shutdown just happened to hit during the ebb which affected the number of awards we received."

Her university has started several initiatives under the new leadership of the Interim Associate Provost for Research and Dean of the Graduate School, Dr. Ron Vetter. "He's a seasoned researcher and was actually one of the first faculty members I met when I got this job," MJ told us. "He's an innovator who will bring a new perspective and vision to our office."

One of his initiatives at UNC-Wilmington is to revamp their web site to include two-minute "how

to do this and that" video clips. Examples include: how to construct a budget, how to write an IRB protocol, how to submit the application for internal approval, and how to do course buy-outs. These are expected to be helpful tools for both faculty and staff.

The Wilmington campus has also recently opened the Center for Innovation Entrepreneurship which brings together researchers and the local business community so as to connect ideas and take them to market.

"In addition, we're creating a more open-door policy inviting the faculty to stop by our offices any time for a cup of coffee and chat," MJ says. "We want to be more customer-oriented. Instead of sending emails all the time, we're just going to pick up the phone and ask how things are, what do you have planned, and is there anything we can do to help?"

Joe Gesa, System Administrator in American University's Office of Sponsored Programs reports that similar things are happening at American University in Washington, DC. "We collaborate with our Provost's Office to provide a range of on-site proposal development and editing services. We provide assistance ranging from writing abstracts and grant proposals to hosting faculty grant-writing workshops focusing on how to get your message across in a proposal."

Joe manages tasks ranging from desktop support to being the subject matter expert on grants-management websites and portals. He is also the administrator for Cayuse 424 or system-to-system submission software.

In 2014, he says American University is continu-



ing to move forward initiatives that were started at the end of last year. "We have a dedicated person providing ongoing information sessions on the funding databases that we subscribe to—Pivot, infoEd Global Suite (SPIN/SMARTS/GENIUS), SciVal and Foundation Center. Our Communications and Operations Manager is becoming a subject matter expert on these databases. They used to be part of my job, and I'm



working with her to transition to a subject matter expert in these databases.”

When asked about any new tools in the works, Joe said that he developed a draft of some in-house proposal and grant material. “Just recently we have enhanced our database so that we can provide information in a more consistent fashion to anyone who asks for it,” Joe said. The materials have been well-received. Joe originally sent a draft out to some executives. “I guess I didn’t make it clear enough that what I’d sent out was a draft and some deans thought it would be a monthly thing. When it didn’t come the following month, I was asked why it didn’t come. I took that as a compliment.”

Research activity is also on the mind of Jodi Ogden, Associate Vice President, Sponsored Projects Administration at UTHealth (The University of Texas Health Science Center at Houston). “We don’t have a data warehouse and as numbers go down everybody wants good data analytics. That’s hard to come by when you don’t have a data warehouse and a team that does that type of work.” Currently Jodi uses reconciled data extracted from her financial and pre-award systems and she’s licensed Tableau which is a tool that assists with data visualization for campus leaders.

Jody told us that although her institution experienced a downturn in overall awards - including federal awards - they were fortunate to have NIH funding increase last year. While there is concern over a reduction in funding, Jodi is also concerned when proposals numbers are down. “We can’t get awards unless people are submitting proposals,” she says. “The challenge is figuring out why investigators are not developing proposals. Are some folks just getting down in the dumps because the pay line is so low right now, or are people

just submitting fewer proposals?” Her data shows that UTH submitted 1453 proposals for \$1.1 billion in FY11 and in FY13 only 1277 proposals were submitted for \$886 million. “My big push is to encourage people to keep submitting proposals.”

In the past four years, she says her staff has been working to streamline processes so that they work smarter and not harder. She and her staff continue to look for ways to eliminate unnecessary steps and still provide the same level of service.

One change that has been well received by principal investigators and her staff is “allowing PIs to submit grant applications anytime they want and wherever they want” as long as her office has reviewed the financial and administrative portions of the grant and locked those sections down. “All of our PI’s self-submit their grants,” Jodi explains. “It gives them the extra time when a proposal is due at midnight or another time that is after normal working hours.” The change also protects her staff from the stress of waiting for a PI to finish at the last minute.

This move stems from the frustration that some investigators voiced over her staff “not being here at midnight to submit their grants,” Jodi said. “It’s something that all universities are faced with and it led to the question: ‘How can we improve it?’”

Jodi explains that In FY13, they began using Cayuse to electronically maintain proposals. “We can review the budget, the face page, all the administrative portions and then lock down that proposal.” The investigators, she adds, “cannot make any more changes except to the science. And they can work on the science until they are comfortable submitting the proposal, even up to the last minute.” She qualifies the new submissions policy by saying it applies to anything that can be submitted through the Cayuse system, “which is pretty much all of Grants.gov submissions,” she says. Proposals that cannot be submitted via Cayuse are submitted by an institutional official in her office.

Jodi is pleased by the results so far. “We can see when PIs submitted the proposals” she says. She has found that PIs are less likely to work until the last minute. “When the responsibility is on the principal investigators and they see some potential problems with the submission of the proposal, they submit earlier.” It’s not a matter of choice, all PI’s are responsible for submitting their own grants or assigning someone to do it on their behalf.

“We also made it clear that no one was going to be here (in OSP) as a help desk after hours. It was another way to encourage PIs not to wait until the last minute. I can’t control what happens if the proposal is due at midnight and you choose to submit it at 10pm,” says Jodi. Most sponsor-system helpdesks are also closed in the late evening, so if a technical or other issue arises it is up to the PI to solve. The PI’s are “co-owners,” she adds. “It’s not just us telling them what to do.” This method has been in place since March 1, 2013, “and everyone just loves it.”

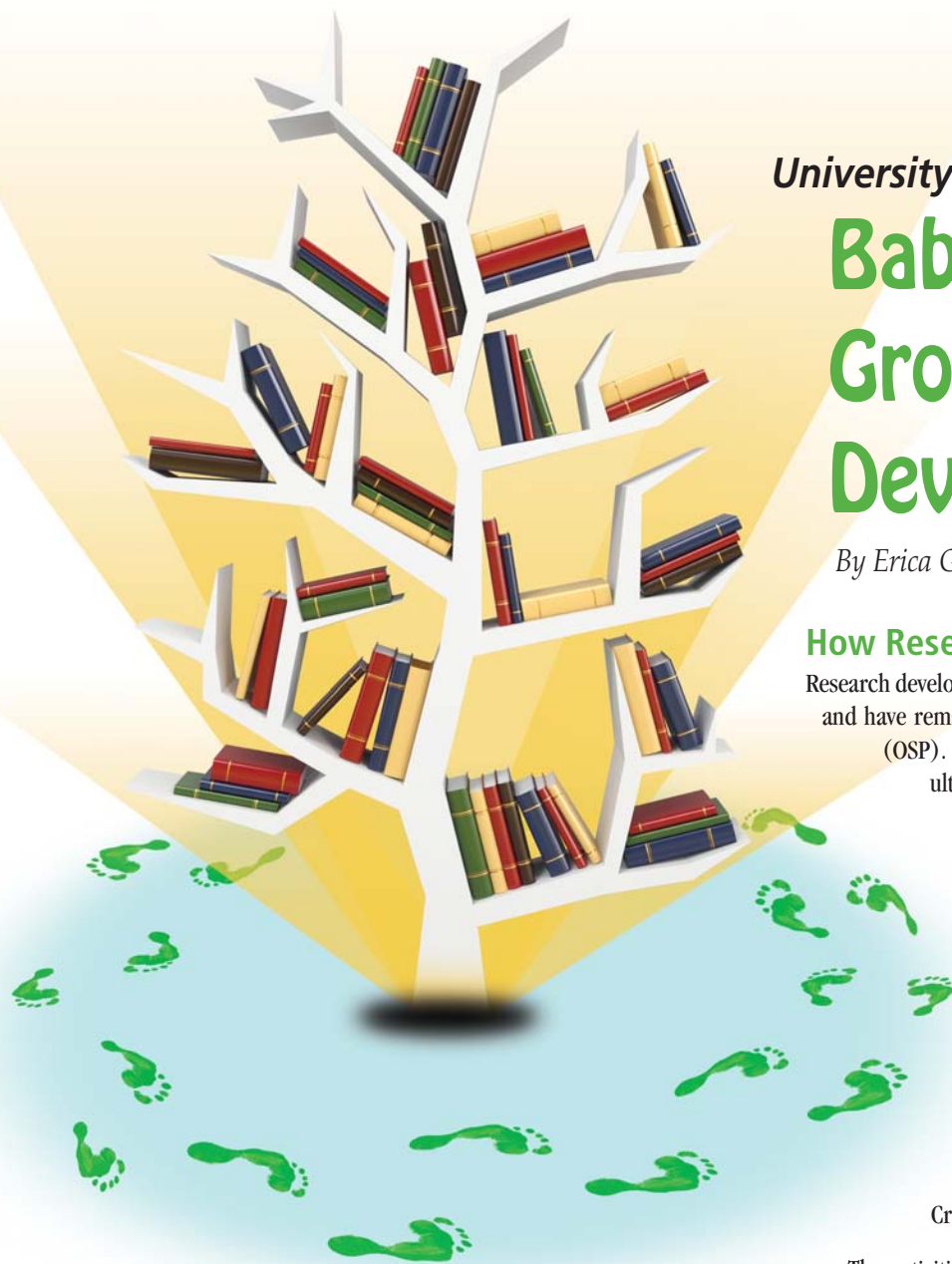
While plans and initiatives can often involve more work, are there any plans to hire more staff? MJ told us that her office plans to hire some graduate students to help with rewriting policies, mapping out procedures and to reduce the burden on staff. Joe said “The University’s strategic plan is calling for expanding research so our plan is to ensure that we have the human capital in place to service our customers through any growth that we might experience.” Jodi responded: “There is no intension of hiring anyone for this or the next fiscal year.”

All of the interviewees were excited about the coming year. “If we can get these things in place it’ll make life a lot easier for the faculty to do research and maybe not feel so alone,” MJ told us. “We have a new customer-service oriented attitude. We tend to get bogged down in the minutia of proposals and awards. I believe if we become more sensitive to what the faculty need it’ll help the proposals and awards grow.”

These are just a few ways that the universities are using to grow research, to better serve the communities they represent, and to better educate their students. We are sure there are more ways to enhance research, whether it is to use more technology or change processes to be more efficient. Please share your view and ideas with our NCURA eRA Community in Collaborate as we are all in this together. ■



Pei-Lin Shi is a senior grant and contract specialist at the University of Texas Health Science Center-Houston. She has been in research administration for more than 14 years and is a member of NCURA eRA Committee. Pei-Lin can be reached at Pei-Lin.Shi@uth.tmc.edu



University of Alabama Model

Baby Steps to Growing Research Development

By Erica Gambrell and Angie Shotts

How Research Development was born at UA

Research development (RD) services have evolved over the past several years and have remained a function within the Office for Sponsored Programs (OSP). The Office for Research recognized the need to support faculty in research development, but initially, staffing constraints allowed only a few dedicated hours a week. A full-time Grants Specialist juggled pre-award duties while developing new educational offerings for faculty. Because of turnover within the OSP, it was not feasible to allocate full-time resources to this position. Once staffing stabilized within the department, a full-time Research Coordinator was hired to start focusing on our immediate needs, such as managing limited submissions and coordinating training efforts for faculty researchers. The position also included assisting with an internal pilot funding opportunity for faculty and working with the Undergraduate Research & Creative Activity Conference.

The activities and services offered have gradually expanded since the creation of this position in 2009. Special-topic workshops, the creation of a Research News Listserv, distribution of a weekly funding summary, individual and group PIVOT (funding opportunity software) training sessions and writing groups have all been added to the list of research development offerings. Networking sessions were introduced in 2012 and have proven to be successful and energizing for faculty. These networking sessions were strategically organized to connect cross-campus faculty members for the purpose of facilitating interdisciplinary collaborations on specific topics. In addition to raising the awareness and enthusiasm for RD, both faculty and administration requests and feedback have increased dramatically since the introduction of these interactive events.

Recognizing the value of the new services and acknowledging the need for additional RD support, a second person from OSP (originally from Post-Award) was transitioned into RD in the summer of 2013. As a result, the fall semester of 2013 showed a dramatic increase in the number of workshops, trainings and events. The additional staff made it possible to increase offerings on campus and investigate new ways of encouraging interdisciplinary collaboration.

Introduction

“So, what do you DO?” used to be a difficult question to answer when asked about our roles at The University of Alabama. It is difficult to explain “locating funding opportunities, acquainting new faculty to university policies and procedures, executing campus-wide workshops and networking to increase interdisciplinary collaboration” to people outside of academia. To describe the research development function as “pre pre-award” would still leave folks scratching their heads. After all, university research is a culture in itself and research development activities are evolving. We have fine-tuned our responsibilities to target the University’s strategic goal to “Advance the University’s academic, research, scholarship and service priorities, consistent with a top-tier university, and continue to promote growth and national prominence in these areas.” Research development exists to facilitate the goal of growing the research enterprise. By expanding our research activities and services, scholarly activities inevitably grow.

Where We are Today

Building Relationships. We remain focused on building the scholarly and research enterprise at The University of Alabama. The foundation for any relationship is transparency and consistent communication. On-going communication from OSP staff in RD reinforces that our office (both pre-award and post-award) is dedicated to providing superior customer service to our research faculty in all stages of proposal development.

Every year, the Office for Research sponsors a New Faculty Reception where OSP, Contract and Grant Accounting, and Research Compliance staff mingle with new faculty. It is a beneficial way to introduce new faculty to the people who will support their research endeavors. A significant amount of work goes into producing relevant education materials for new faculty to ensure they are aware of the proposal process and the resources available to make the process as simple as possible.

As a direct result of a speed networking session, the Office for Research (OR) staff was recently invited to take a "field trip" to meet Engineering faculty and tour an Engineering Center on campus. These face-to-face interactions strengthened the positive relationship that already existed. Now, the OR staff has a better understanding of the Center's brand and research focus. Everyone enjoyed seeing the Center's impressive work in action and having time to interact on topics other than proposal submissions and no-cost extensions. It was exciting to see how OSP's contributions played a role in their success. Additionally, having the face-to-face interactions improved rapport between the two areas.

In RD, we encourage researchers to work with their respective Advancement Officers to locate and apply for corporate foundation funding. There are numerous private foundations and corporations that are eager to fund research activities, but Advancement must be aware of researchers and their research to make a match. Increasing faculty awareness of all services provided by the University is an important component of RD and referring faculty to the Advancement Office is one way we assist faculty in their research and scholarly endeavors.

The Office for Sponsored Programs also coordinates monthly lunch-and-learn sessions with departmental research administrators for the purpose of educating staff about pre-award and post-award best practices. These monthly sessions continue to improve the relationship between faculty, departmental administrators and OSP staff and nurture our collaborative environment. Now in its third year, these sessions continue to focus on communication of best practices by using slides and handouts and through discussions with relevant subject-matter experts.

Growing Research. In addition to campus-wide collaborative efforts coordinated by OSP, we encourage research-focused gatherings at the department level to keep the faculty engaged in their research endeavors and are available to help coordinate those events. The College of Nursing has recently begun monthly breakfast meetings where they keep faculty informed and involved in possible collaborations across campus. It is our hope that we will see similar initiatives begin to unfold across campus.

Borrowing an idea that was successful at another university, we introduced speed networking sessions which have played a pivotal role in the recognition of RD services on campus. These sessions bring together faculty who are interested in a specific field or topic. The topics have covered a wide range of disciplines and are usually suggested by the Associate Deans for Research, the Vice President for Research or faculty members. We strategically pair researchers for 5-7 minutes to discuss their research interests. They then move seats to network with the next faculty member and this process continues until all researchers have been paired. As a tangible result of the networking events, we have several researchers who met at one of these events and are now working together on proposals and/or projects. It is likely they would not have met, much less

NCURA PATHWAYS

Volunteer Pathways

NCURA has identified three distinct volunteer pathways for its members to get involved – presenter, leadership and volunteer at the regional and/or national level. "Pathways" is intended to inspire and inform members on how to engage NCURA as a volunteer in any or all of these opportunities. To get involved visit <http://collaborate.ncura.edu/VolunteerOpportunities>



Patrick Green's Journey

My NCURA journey began in 1973 at the Annual Meeting. It was an overwhelming crowd, but would be considered small today.

There, I became acquainted with others, mostly over meals or in social settings. It was important to me to meet and listen to what they had to say for I had much to learn, and training opportunities were limited. They were always eager to share their experience. Being a rookie, I chose to volunteer my services, helping to set up meetings, stuffing registration packets, etc. Soon, I was "appointed" as Treasurer of my Region and became more involved. Later, I was elected as Regional Chair and served on the National Board of Directors. Over the years, I also conducted sessions at regional and national meetings. All of this has helped me become a more proficient Research Administrator and advance my career. And... that same attitude of sharing ideas and experiences makes NCURA special today.



"Here is one of many pinnacles of Pat Green's NCURA career. Go Keith! Talk about Satisfaction!"

Patrick Green

Exec. Assistant Director

Office of Contract and Research Administration
Vanderbilt University

What's on my DESK

Christine Katsapis' Desk



Sitting on my desk are resumes for GU's Research Compliance Specialist position. This second round has no direct

research compliance experience so far. We are a PUI with very ambitious research goals. We plan to grow but with the appropriate non-financial compliance supports in place first. Finding the person who will build from scratch with me is proving tough. My role is split while I run pre-award and simultaneously build GU's compliance infrastructure. We are lucky to have training in place, attention to the key areas, and have dedicated the right resources. Just keeping my eye on every compliance area on our routing and approval form (biosafety, export control, FCOI, etc...) without a Research Compliance Coordinator who can focus on it full time is challenging. I know that person will turn up but I sure wish that they had started last week and were a few doors down from me right now!

Christine Katsapis, Ph.D.
Assistant Dean for Research
Office of Sponsored Programs
Gallaudet University

worked on a collaborative research project, had it not been at one of the networking sessions.

We offer numerous faculty workshops that cater to both junior and senior faculty. Topics vary in nature and range anywhere from "How to Apply to Foundations" to topics unrelated to finding funding such as "Proposed Budgets vs. Accounting Budgets." We have found it productive to bring faculty together for any reason. For faculty who are not able to attend the workshops, we record the sessions and make them available on our website. We are often told after a training or workshop that the faculty member is now more comfortable coming to OSP for additional assistance during their first submission. This increased comfort level and enthusiasm is not the intended purpose of the workshop, but is certainly a positive byproduct.

OSP offers educational sessions on campus to educate faculty about the roles and responsibilities of the Office for Research and to aid them in finding funding opportunities by utilizing our subscription of PIVOT.

In addition to these newer activities, The Office of the Vice President for Research has a long history of providing internal funding for faculty in need of seed data or funds for other scholarly endeavors. This internal competition provides pilot funding for full-time tenured, tenure track and clinical UA faculty from all disciplines - including the arts and humanities. The management of the program is coordinated through OSP. Direct and constant involvement in the program provides another opportunity to assist faculty and reinforce the supportive philosophy and culture of the Office for Sponsored Programs. This in turn, strengthens the perception of the RD efforts and the possibility of workshop and networking topic requests.

Challenges and Opportunities for the Future of Research Development at UA

Research development activities are always evolving. The needs vary from department to department and also across institutions. Focus areas and interests change year to year. RD must be ready to change according to the demands of our researchers. The list of networking and workshop topics will continue to grow, but keeping the enthusiasm and momentum going will ensure faculty remain involved in the future. This ongoing challenge is what makes working in RD so exciting. Feedback from our faculty and research leaders (this includes the Vice President for Research, Associate Deans for Research and OSP) will always remain a critical component when planning our future activities. Working in an environment that fosters growth and creativity is vital. Additionally, involvement in organizations like NCURA increase opportunity to learn from others in our field, share our successes and failures and discover what others are doing to grow their scholarly and research enterprise. ■



Erica Gambrell is the Coordinator of Research Services in The University of Alabama Office for Sponsored Programs where her responsibilities include development of networking and education programs for faculty as well as campus-wide Effort Reporting. She is a graduate of the 2013 NCURA Executive Leadership Program. She is actively involved with NCURA, currently serving on the NCURA Financial Management Committee and is a member of the Program Committee for the joint Region II / Region III Spring meeting. She previously served as Treasurer for Region III. Erica can be reached at egambrell@fa.ua.edu



Angie Shotts, LCSW, is the Coordinator of Research Support in the Office for Sponsored Programs at the University of Alabama. Angie's responsibilities include management of an internal funding mechanism available to all faculty, coordination of limited submissions and providing research development activities for UA faculty. Angie can be reached at ashotts@fa.ua.edu

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<http://www.ncura.edu/InstitutionalPrograms.aspx>

7 Seven Tips for Young Faculty Starting Their Careers

By Michael S. Teitelbaum

Editor's Note: Congratulations to Dr. Teitelbaum for being selected Science Careers 2013 Person of the Year, what a great honor (so great that we wanted him in our Magazine!). We asked Dr. Teitelbaum for some top pointers for young faculty when starting their careers, and we got the following seven. Please pass on to all your young faculty.



1 Don't expect to follow the path of your mentor, and don't be devastated if you are unable to find a way to do so – things are much harder for early career scientists than they used to be.

2 Take seriously any special programs (from NIH, NSF) designed for early career scientists. They may not have the prestige of R-01 or “regular” research grants, but they can get you started on a productive research path that can produce the preliminary findings and track record that are so critical to success in obtaining such funding.

3 Be fully aware of the risks of academic positions that depend primarily upon “soft” research grant funding as compared with “hard” faculty salary lines. Depending on the vagaries of the Federal budget, research grant funding may (or may not) become an increasingly uncertain source of continuing support – no one can know how this will play out.

4 Remember that science is a quintessentially collective enterprise, in which new insights and findings build upon knowledge and conceptual frameworks developed by creative predecessors and contemporaries. As research funding prospects deteriorate, it often is too easy to fall into a mindset of overly-aggressive competitiveness for limited resources. This can be counterproductive not only to the success of scientific progress itself, but also to individual careers.

5 Don't fall into the trap of seeing RA's and postdocs as cheap research labor hired to serve your own career interests. They are your progeny – intellectual/scientific rather than genetic — who deserve your sincere support for their intellectual development and ultimate career success. Take steps to ensure that they are fully aware of the career prospects in their areas of interest, have time to hone the highly specialized knowledge needed for their own research, and are able to develop their own networks by attending and presenting their work at professional scientific meetings. Meanwhile, take care that you do not inadvertently convey that they should look down their noses at non-academic research positions. In many (though not all) fields of science, the formerly “mainstream” career path of a tenure-track appointment in Academe actually has become an “alternative” career for recent PhDs, while careers outside academe have come to predominate. With this in mind, support those who also are interested in developing broad cross-disciplinary capabilities and management, teamwork and communication skills that are much more highly valued by employers outside academe.

6 Avoid the temptation of encouraging productive PhD students and postdocs to stay longer in these temporary “education/training” positions than is absolutely necessary for development of their scientific research and related capabilities. While the greater experience of longer-term PhD students and postdocs may indeed make them more productive for the lab's work, they may not realize that such extended stays can diminish their own prospects for successful careers.

7 Commit to spending the time and effort to track the careers of your own PhDs and postdocs for at least 5-10 years, and encourage your departments and faculty colleagues to do the same. Since many are likely to pursue careers outside the tenure-track academic environment, invite them back to meet with your current graduate students and postdocs to communicate their career experiences to your faculty colleagues and to students and postdocs who are following them. ■

Michael S. Teitelbaum, Ph.D., is a distinguished demographer and visionary official at the Alfred P. Sloan Foundation and Senior Research Associate for the Labor and Worklife Program at Harvard Law School. His two significant accomplishments include creating the Professional Science Master's (PSM) degree and was also instrumental in establishing the National Postdoctoral Association, the only national membership organization dedicated to the professional welfare and advancement of the nation's postdocs. He was recently named Science Careers 2013 Person of the Year, an honor given to an individual who has made an especially significant and sustained contribution to the welfare of early-career scientists. More information on that recognition can be found here:

http://sciencecareers.sciencemag.org/career_magazine/previous_issues/articles/2013_12_23/caredit.a1300284



Horizon 2020 for U.S. Researchers – What’s in it for me?

By Jesse J.K. Szeto

In the Jan/Feb 2014 issue, our colleague Olaf Svenningsen (University of Southern Denmark) provided an excellent overview of Horizon 2020, which is the European Commission’s research and innovation funding program for the next seven years (2014-2020). Totalling €77 billion (approximately US \$105 billion) and covering topics ranging from basic science to complex societal issues like climate change, Horizon 2020 is one of the world’s most ambitious and wide-ranging research programs open not only to the European Union’s universities, research centers, and small and medium-sized enterprises but also to non-European entities.

In fact, Horizon 2020 explicitly encourages participation from international partner countries (IPCs), which are countries that are neither European Union (EU) Member States nor Associated States. While entities from industrialized IPCs (such as the U.S.) are not automatically eligible for funding, they are eligible to be consortia partners and benefit accordingly with regards to IP rights, research results, etc. Furthermore, U.S. entities may receive funding under the following conditions:

1. Funding for such entities is provided for under a bilateral scientific and technological agreement or any other arrangement between the European Union and a particular country, or
2. The European Commission deems the entity’s participation to be essential for the purpose of the project.

Because of a bilateral agreement between the U.S. National Institutes of Health (NIH) and the European Commission, U.S. institutions are eligible to receive funding from any call that is in the “Health, demographic change and well-being” program area. In addition, U.S. entities that have a legal basis in the European Union or an Associated State, such as a branch campus, would potentially be eligible to apply for any funding. Furthermore, U.S. entities that are working with developing countries should note that entities in developing country IPCs are generally eligible to receive funding.



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Based on the European Commission's previous research funding cycle (2007 – 2013), we have seen that U.S. institutions have often participated as consortia partners even when they have not been eligible to receive funding. In fact, more than 450 U.S. institutions participated under various categories, and some of them were able to receive funding totaling €76 million (approximately US\$103 million). After Russia, the U.S. was the most successful IPC in applying for research support from the European Commission, with the most common topics being health, ICT (Information and Communications Technology), food and agriculture, biotechnology, and energy.

Two other programs that could be of particular interest to U.S. researchers and institutions are the following:

1. ERC (European Research Council) grants – these are most similar to U.S. federal agencies' investigator awards, and the topics are open to "pioneering ideas" and "investigator-driven frontier research", including social sciences and humanities topics. At least 50% of the research must be carried out in an institution in an EU Member State or Associated State.
2. Marie Skłodowska-Curie actions – these are similar to fellowships for doctoral and post-doctoral researchers, and they encourage investigators to engage in "transnational, in-

3 country groups → Differences regarding funding

EU enlargement countries + countries of the European Neighborhood policy	in general eligible for funding
Developing countries	
Industrialized countries and emerging economies	only funded in exceptional cases

- Industrialised countries: US, Canada, Australia, South Korea, etc.
- Emerging economies: Brazil, Russia, India, China and Mexico

tersectoral and interdisciplinary mobility". Thus, European investigators often take their award to a U.S. institution since the U.S. is the top "transnational" destination for European investigators.

As in most instances, research collaboration will be driven by Principle Investigators (PIs) who want to work with their colleagues on exciting projects that have the potential for successful results and meaningful publications. Thus, even if their institution is not eligible for European funding in a particular case, U.S. research administrators may find that their PIs may be eager for their institution to sign agreements to become a member of consortia that are applying for Horizon 2020 calls. Based on an NCURA survey of 25 top research universities in the U.S., 24 of them agreed to the terms

and conditions of the European Commission's award, even when they sometimes did not receive any funding. Thus, for those research administrators who may be facing this situation for the first time, please reach out to your NCURA colleagues (such as through the Global Collaborate Community) who have gone through this before. ■



Jesse J.K. Szeto is the Senior Manager of NCURA Global where he implements strategic partnerships and engages NCURA members worldwide. He has also been a research administrator for the past 15 years at the University of Wisconsin, the University of California – Davis, the State of California, and the United Nations in Bangkok. He can be reached at szeto@ncura.edu

Other resources available to U.S. researchers and research administrators include the following:

Funding Opportunities

Link to Horizon 2020 funding opportunities search portal: <http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/index.html>

Link to the ERC: <http://erc.europa.eu/>

Link to the Marie Skłodowska-Curie actions: <http://ec.europa.eu/research/mariecurieactions>

Resources for U.S. Researchers

January 22, 2014, webinar on "Funding Opportunities for US researchers in Horizon 2020" by Olaf Ripken, National Contact Point for International Cooperation, DLR, Germany:

http://www.euussciencetechnology.eu/sites/default/files/Webinar_USA_20140122.pdf

February 19, 2014, webinar on "Funding Possibilities for US Researchers within the European Research Council (ERC)" by Yiva Huber, National Contact Point for ERC, FFG, Austria:

see http://www.euussciencetechnology.eu/sites/default/files/BILAT-USA20_ERC-Webinar_Feb19_web.pdf

BILAT USA 2.0 – a resource for research collaboration between the U.S. and the EU: <http://www.euussciencetechnology.eu>

EURAXESS Researchers in Motion – a resource for researchers wishing to pursue research careers in Europe: http://ec.europa.eu/euraxess/index.cfm/links/eurRes/north_america

NCURA's Global Collaborate Community – for NCURA members: <http://collaborate.ncura.edu/communities/viewallcommunities> For non-members, please sign up to receive access information: <http://s.zoomerang.com/Survey/WEB22FUVWP5QFJ>

General Horizon 2020 Resources

Horizon 2020 website: <http://ec.europa.eu/programmes/horizon2020/en>

How to sign up to be an expert reviewer: <http://ec.europa.eu/research/participants/portal/desktop/en/experts/index.html>

List of developing countries eligible to receive funding (Note: Brazil, Russia, India, and China are NOT eligible):

http://ec.europa.eu/research/participants/data/ref/h2020/wp/2014_2015/annexes/h2020-wp1415-annex-a-countries-rules_en.pdf

Research Administration in Canada



Research Administration IT Systems

The growing complexity of research administration (RA) and the ever increasing threshold for compliance means that university research administration offices have to be immensely efficient and effective. At UBC we manage approximately \$550M a year in research funding from 1000 different funding sources each with its own terms, conditions, compliance and reporting requirements. What is at stake is researcher productivity. An average researcher is estimated to spend over 40% of their day on administrative tasks. This percentage seems to be increasing as interdisciplinarity and multi-university research teams are desired by federal and provincial funding agencies, as well as private industry, for larger awards with the belief that it has the potential to produce cutting edge and innovative research. Additionally, many universities are in a situation of fiscal restraint whereby personnel that have supported researchers are being cut, putting further pressure on researchers for RA. All these factors together make it imperative for highly efficient research administration IT systems.

There is no question that the RA profession of today consists of a highly educated group (the recent survey of CAURA members confirmed that 96% of members had at least a tertiary education) and clever technology. However the various organizational structures (unit separation of pre, post-award and compliance) and the way we fund and plan IT projects can often make it difficult to build the best integrated solution. Modern IT systems have transformed our ability to track research funding and compliance but the number of institutions that have completely integrated systems (where the research tracking system connects to the financial system, compliance tracking, and to the HR system) is very small.

Conversations we have had with peers, across North America and Europe, who have tried to build integrated systems mention that often the most time consuming part of the system design and implementation process is the negotiation between business units necessary to build the electronic links between systems. Perhaps a way forward in the future for institutions is to look at a new administrative structure, such as shared services, which could then be supported by an IT platform. This structure could negate the time consuming discussion and sometimes failed attempts among segregated units. A strong note of caution. Many peer institutions have built research grant tracking modules separately from the compliance modules. Successful integration of these modules into an integrated system is very difficult and expensive to achieve.

So what does the ideal system look like? We all wish we knew but our best guess is to start with the requirement that the system:

- ✓ Is built on an enterprise class software platform that is secure and protects privacy (has security access so that researchers may only access their own information and administrators can only access information as allowed in their particular roles).
- ✓ Has security capabilities to meet compliance thresholds.
- ✓ Would be run on local virtual servers with appropriate back-ups managed by the institutional IT group.
- ✓ Has consistent performance that is monitored and there are KPIs that define appropriate levels of system performance.

- ✓ Is paperless (good for the environment) and has electronic workflow (to provide tracking and assurance of transactions).
- ✓ Allows connection between research, finance, HR and other systems so that the business process of setting up research accounts is seamless and trackable.
- ✓ Compliance modules (tracking ethics certificates and COI disclosures etc.) are linked to the research grants module to ensure that research accounts cannot be set up without the appropriate compliance certificates and COI disclosures being up to date and in place.
- ✓ Has smart form capability so that electronic forms can be created and evolved to meet the changing compliance landscape.
- ✓ User interface would be well designed and intuitive to use for both researchers and administrators.
- ✓ Connects with primary federal funding agencies. This lack of connection is a huge administrative burden on researchers and administrators across the country. Collectively, this would be an enormous gain in efficiency and available resources.
- ✓ Has appropriate governance 1) at the senior administrative level to provide strategic guidance and funding 2) at the module owners level who are the business leads in the various units, research grants, compliance, COI etc. and provide priority on the various developments, upgrade projects 3) by users of the system providing feedback on the usability of the system.
- ✓ Is managed by a competent central IT with an expert, in-house team of developers, project

Research Administration...By the NUMBERS

NIH FY2013 grant funding statistics show
an overall decline in many categories,
including fewer new awards, and lower success rates.

16.8%: Overall 2013 success rate for competing
NIH RPGs. This is a **.8% decrease** from 2012.

61,013: The total number of research grants
applications received by NIH in 2013.

This is **2,511 less** than 2012 and the *first time a
decrease has been recorded since FY1997.*

13%: FY2013 R01 equivalent awards to first-time NIH
investigators – a **10% decrease** from FY1998.

However, not all numbers show a decline.
The percentage of awards to women under various NIH
mechanisms has slowly but surely risen over the years.

31%: FY2013 RPGs to female PIs – a **1% increase**
over FY2012 and a **9% increase** over FY1998.

21%: FY2013 Center grants to female PIs –
a **1% increase** over FY2012 and a **10% increase**
over FY1998.

46%: FY2013 Career awards to female PIs – a
1% increase over FY2012
and an **11% increase** over FY1998.

Sources:

<http://nexus.od.nih.gov/all/2014/01/10/fy2013-by-the-numbers/>
<http://report.nih.gov/NIHDataBook/Charts/Default.aspx?showm=Y&chartId=169&catId=15>
<http://report.nih.gov/NIHDataBook/Charts/Default.aspx?showm=Y&chartId=159&catId=2>
<http://report.nih.gov/NIHDataBook/Charts/Default.aspx?showm=Y&chartId=165&catId=22>
<http://www.whitehouse.gov/blog/2013/11/07/impacts-and-costs-government-shutdown>
http://news.nationalgeographic.com/news/2013/10/131021-science-shutdown-federal-impacts-labs-nih/?rptregcta=reg_free_np&rptregcampaign=20131016_rw_membership_r1p_us_sc_w
<http://nexus.od.nih.gov/all/2013/10/18/more-information-on-moving-forward-with-nih-applications-review-and-awards/>
http://www.washingtonpost.com/politics/house-effort-to-end-fiscal-crisis-collapses-leaving-senate-to-forge-last-minute-solution/2013/10/16/1e8bb150-364d-11e3-be86-6aa439845b_story.html

Want to share numbers? Email Heather Kubinec at
heather.kubinec@research.uci.edu

managers, business analysts and system support staff. Having external firms design, build and maintain systems is exorbitantly expensive.

These research systems are not cheap. UBC has a system that comes close to what is described in this article and spent \$6M and 5 years building it. The system costs UBC approximately \$800k/year to maintain and evolve at a rate that assures ongoing compliance. These are typical costs for a medium to large institution. We have not yet met peers who have built a system with comparable functionality, quicker or cheaper. Many thought they could and have failed.

The reality of research systems is that the market in North America is not large compared to, for example, financial systems. The required functionality is complex. Although off-the-shelf systems exist, very few who use them are satisfied. The custom built systems are notoriously expensive and take a long time to build. However the good news is that it is worth the effort - even though 50% of system projects fail and only 25% of the projects meet the original business deliverables.

We conclude that at UBC we are 40% more efficient (based on new net FTEs and work volume increase, net of new staff hired to comply with new compliance regulations) having the system and infinitely more compliant and yes, if we are honest, we were in trouble with the funding agencies before we built the system. They now consider us “best practice” with respect to compliance.

One wonders, within the profession, if we all comply with the same funder terms, conditions and compliance, why do we all need to build separate custom systems. There are very few if any examples of sharing of systems. The efforts to share open source Kuali systems is admirable but has not provided a mass acceptable research tracking system solution. This is a huge missed opportunity and it is not justifiable to say we are all so unique in terms of business process that we need unique, custom systems.

In British Columbia we are collaborating with our sister institutions and looking at the feasibility of shared system. Time will tell whether we can make this work.

In conclusion having a fully integrated system is a huge competitive advantage and enables great efficiency but is costly, risky to build and there are not many examples of it having been done, well!

The UBC research tracking system is built on a Huron-Click platform. ■

Martin Kirk - CAURA President, Director, ORS, University of British Columbia

Susan Blum - Director, ORS, University of Saskatchewan

Rachael Scarth - AVP Operations, University of Victoria

Sarah Lampson - Executive Director of CAURA

Sally Felkai - Manager, Research Systems Information Technology, University of British Columbia

Research Administration in Europe

Research Support in Scandinavia – A Profession in growth

By Olaf Svenningsen

Back in the mid-1980's, when I started as a graduate student at Lund University in Sweden, I had never heard of such a thing as a "grants office" or "research support", at least not at a Scandinavian (Danish, Icelandic, Norwegian or Swedish) university. Back in those days, grants from external funders were much less common, and most (70-90%) of universities' funding for research came as block grants, paid directly from the government. When my thesis supervisors wrote grant proposals to the national research councils, they did not get specialist assistance with their applications, and rules and control were more or less absent, by today's standard.

Since then, the proportion of external research funding to Scandinavian universities has been

steadily growing, and now constitutes roughly half of the funding for university research. Under the influence from both politicians and internal needs, the nature of research has changed from relatively small, local groups to large, international, collaborative projects, with its added complexity.

The growing importance of research funding from the European Union (EU), under the so-called Framework Programs for research, have contributed to this development, profoundly affecting not just trans-national research funding within the EU, but also national funding schemes for research. This trend towards bigger, more complex research grants has had the apparently contradictory consequence that although there has never been more funding for research than today, it has never been harder for a researcher to obtain funding.

Research support in the Scandinavian countries was in many cases initially established because of the very complex procedures to apply for EU funding. The size and trans-national character of EU-funded research projects introduced a new level

of complexity in writing grant proposals, and research support functions sprouted at many Scandinavian universities, beginning in the mid to late 1990's. During the

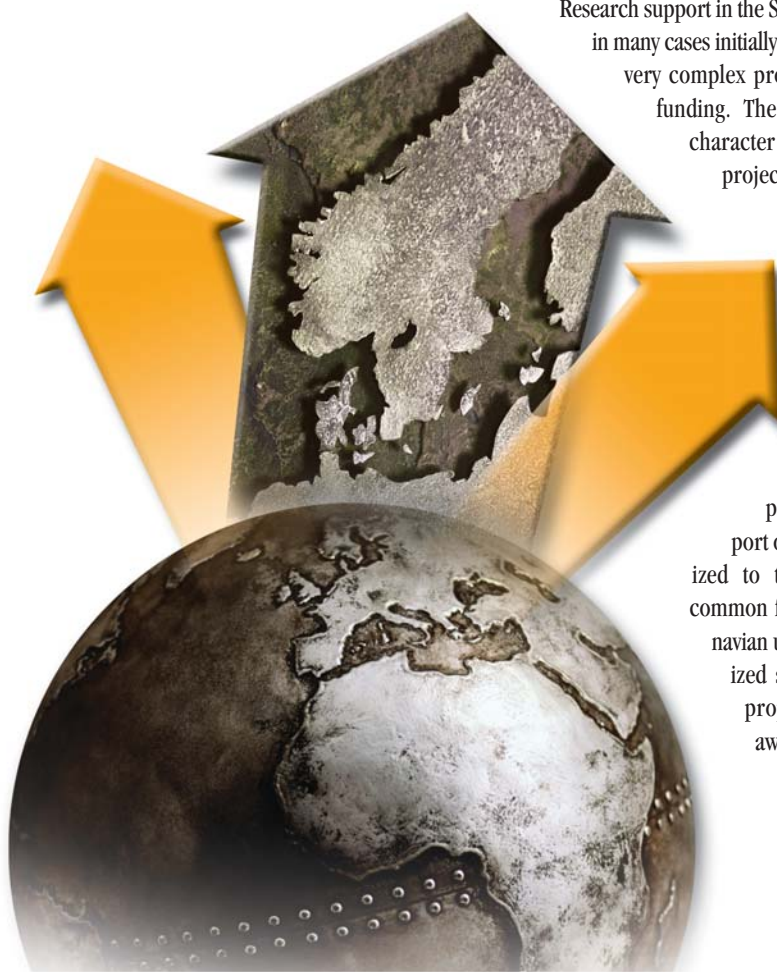
past 15 years, research support offices that are not specialized to the EU have become a common feature, and most Scandinavian universities provide organized services to support grant proposal development and award management.

I have participated in setting up 2 such research support offices (RSO's), beginning in 2003 at Uppsala University in Sweden, and from 2009 at the University of Southern Denmark (SDU). Through my own experience and professional associations like NCURA, EARMA, and DARMA it has become obvious that research support has the potential to be much more than just administrative support to grant writing – and to not appear condescending, let me quickly point out that administrative support to grant writing is a fundamentally important task, which is the core of my own job.

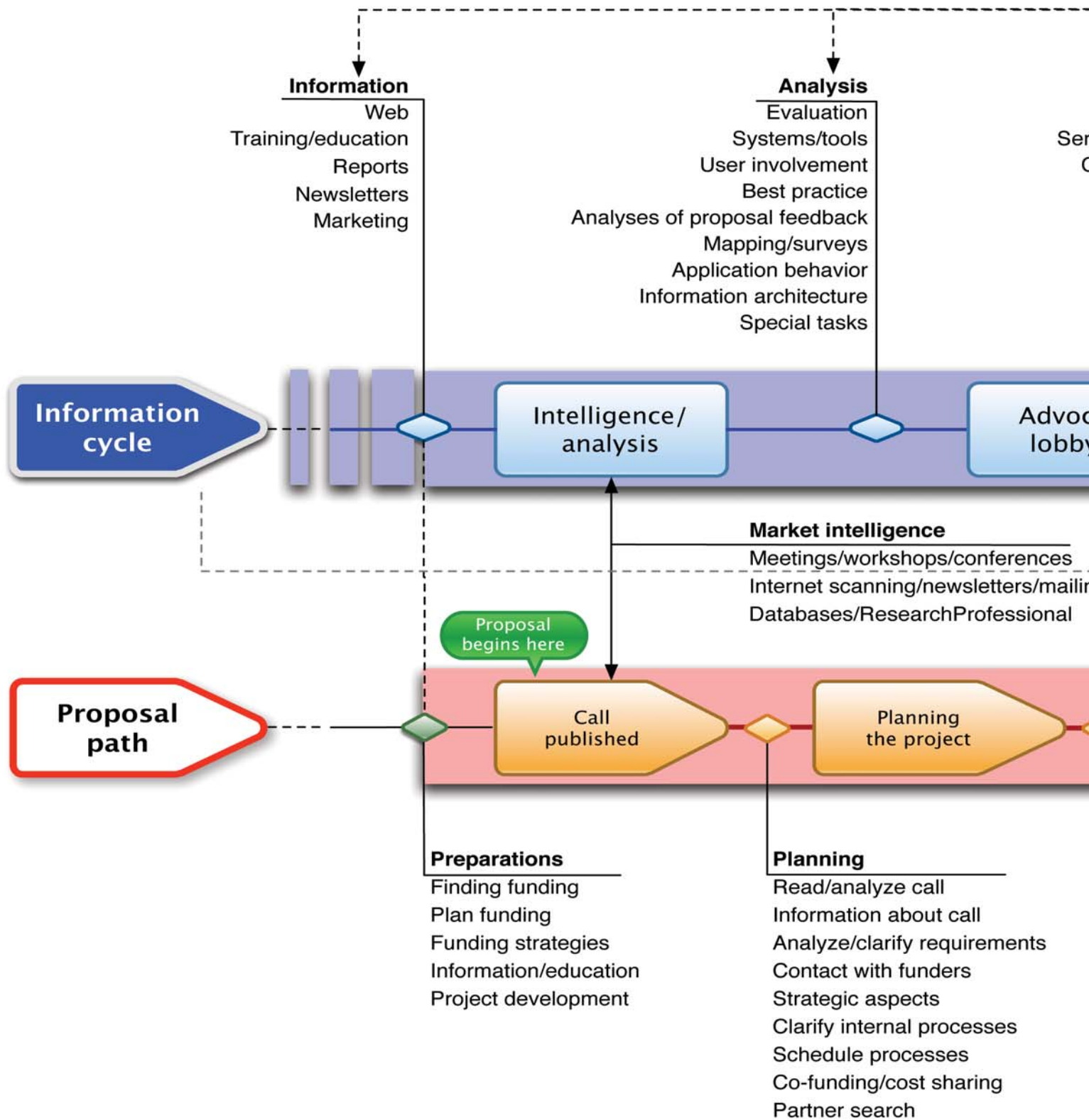
It did not take long for me to experience that traditional administrative functions – finances, legal issues, HR, communications – at Scandinavian universities did not always realize what the point of a separate research support office might be. Expectations from university management were not always focused either; the initial mission statement for many RSO's have been to "attract more external research funding" without much further specification of what this actually means. This is the root of the ever-popular – and seemingly endless – discussion of how the output of an RSO should be measured; it is, or should be, the scientific quality of the proposed project that is the deciding competitive factor, so the RSO provides added value. How can added value be measured?

Having wrestled with this problem throughout the years in Uppsala, one of the first things we set out to do when Southern Denmark Research Support (SDRS, the RSO for health sciences at SDU and the Region of Southern Denmark) was established, was to map the activities of the office and put them into a context that would make it easier for us to explain to our colleagues and management what research support is, with the (not very) hidden agenda of pointing out what it could be, given ad-

Continued on page 40



What does a Research Services, tasks and processes



Support Office do?

es in pre-award support

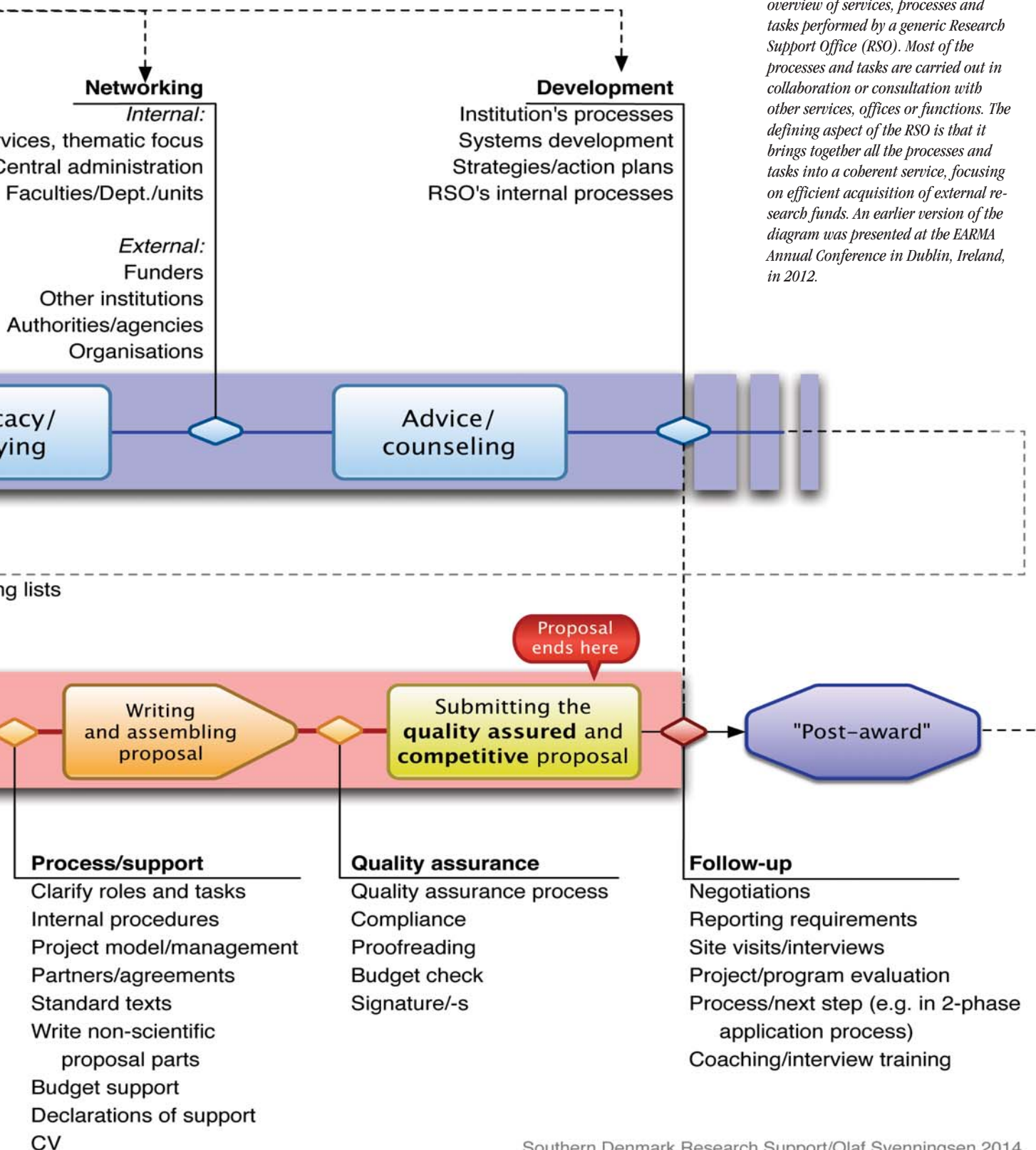


Figure 1. This diagram provides an overview of services, processes and tasks performed by a generic Research Support Office (RSO). Most of the processes and tasks are carried out in collaboration or consultation with other services, offices or functions. The defining aspect of the RSO is that it brings together all the processes and tasks into a coherent service, focusing on efficient acquisition of external research funds. An earlier version of the diagram was presented at the EARMA Annual Conference in Dublin, Ireland, in 2012.

Continued from page 37

equate resources. The result of this effort is presented as a diagram (Figure 1), where two bands illustrate the RSO's tasks, the lower one being the grant proposal process; the upper is the continuously ongoing, more strategic activities. The diagram is intended to be general, and not specific to any particular funder.

Our starting point in creating the diagram was a discussion of what the "product" of the pre-award activities is. Writing a grant proposal is a fairly well defined process, most of the times starting when the call is published, and ending with the submission of the final proposal. The actual delivery of the RSO is actually not "more external funding" – even if that is a desired long-term effect – but something else: a competitive, quality-assured grant proposal. The RSO can provide "competitive" and "quality assurance", and that is our "product".

Working backward from this, we defined the framework for the proposal process in 4 stages; call published, planning the project, writing and assembling the proposal, and finally submitting the competitive and quality-assured proposal. For each stage, we defined the actual tasks that an RSO may perform, and they are listed underneath the red band.



So far, so good. Having finished this mapping, we quickly realized that something fundamental was missing: We are providing all this advice about complex things that are continually changing; laws and regulations are updated, funders change their programs and focus, every 5 to 7 years EU's funding schemes change more or less dramatically (often more), not to mention that changing political agendas shape the conditions for research funding. We must keep ourselves up to date, but how do we do it? How much work is involved?

"Market intelligence" is the answer, and it is a fundamental activity of any RSO, but it did not fit into the "Proposal path". We realized that our intelligence activities are the "glue" between the proposal path and the other large set of continuously on-going tasks. A never-ending "Information Cycle" was defined, illustrated by the blue band in the diagram. We chose to define three stages in the information cycle; intelligence and analysis, advocacy and lobbying, and (internal) advice and counseling. Actual tasks are listed just as with the proposal path, but above the blue band.

Now the diagram started to look interesting, I thought. It provided a structured picture of our job that at least I could recognize, and it illustrated the dynamic complexity and variety that I suspect that many, if not most, research administrators are very familiar with. Even better, the diagram had the potential to be used as a tool for the development of SDRS, or maybe even any RSO.

For example, our web information needs to somehow reflect the proposal path, and any system or tools to support our activities needs to take the entire picture into account. Having the tasks set into a context makes it possible to design our development processes in a coherent way, with a focus on the grant proposal process as a whole, not just the separate parts. Guided by the insight provided by this mapping process, we have launched a number of initiatives, for example:

- Setting up an accredited training program in research funding and project management for early-career scientists.
- Recruiting an EU research liaisons officer stationed in Brussels.
- Mapping the university's regulatory framework for grant proposals for coherence and clarity.

- Introducing new IT systems for efficiently monitoring proposals and awards, allowing better analyses of the university's activities within external research funding.

Interestingly, I believe that I can discern a trend: At Uppsala, research support became gradually more involved in central, strategic processes, and the same seems to be going on at SDU at present. The RSO often grows out of a strictly administrative back office function, to include a more dynamic and strategic role. The RSO sits in a unique position, at the intersection between research, university administration/management, and funders, always with a focus on external research funding. Since external research funding is critical to the survival of most modern universities, the RSO is a potential key function, if put to efficient use. SDRS' motto is that we are co-players in research.

However, since one of the main products of an RSO, as we defined it, is "added value", it is crucial to have a crystal clear picture of what this added value is, and what we do to provide it. The experience of mapping our own processes and activities from a general perspective was very useful, and gave me interesting insights. The slight fuzziness of the term "added value" in combination with the ever-changing research funding landscape actually provide opportunities for growth and development that I believe are quite unique for research support.

Acknowledgements: The mapping of RSO processes was made possible through the collaboration and contributions of colleagues at SDU-Lone Bredahl Jensen, Hanne Dahl Mortensen, Gitte Toftgaard Jørgensen, Arne Bækdahl Hansen, and Helen Korsgaard. ■



Olaf M. Svenningsen, Ph.D., Head of Southern Denmark Research Support at The University of Southern Denmark (SDU) and the Region of Southern Denmark. Olaf's primary responsibilities at SDU are pre-award activities, including strategy and systems development and implementation. Olaf is presently interim chair of DARMA, the Danish Association for Research Managers and Administrators, and board member at its European sister organization, EARMA. He can be reached at osvenningsen@health.sdu.dk



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On The NATIONAL LEVEL



Susan Sedwick

Associate Vice President for Research and Director, Office of Sponsored Projects at the University of Texas at Austin and Chair, Federal Demonstration Partnership (FDP)



The 2005 landmark study conducted by the Federal Demonstration Partnership (FDP) confirmed that federally-funded principal investigators spend 42% of their research time devoted to administration. This was affirmed by a 2012 follow-up FDP survey and a National Science Board survey but little had been accomplished toward addressing this issue. Research administrators have tried to absorb the additional burdens but with few additional resources, this presents a daunting challenge. The Uniform Guidance (2 CFR 200) doesn't appear to offer considerable relief and may even exacerbate the problem. Although transparency and accountability are crucial to maintaining the public trust, it must be recognized that compliance with new mandates comes at a cost. The FDP will continue working hard to ensure PI's spend more time on what's important - science

Cordell Overby,

Associate Vice Provost for Research and Professor of Engineering, University of Delaware



A Research Attorney colleague observes that in today's competitive sponsored-research environment, increasingly universities are collaborating with industrial sponsors. Challenges associated with industry-sponsored collaboration agreements often pertain to ownership of resulting intellectual property (IP). To help address this, some universities are considering issuing royalty-free exclusive licenses to sponsors for developed IP in return for up-front payments equal to fixed percentages of sponsored-agreement amounts, while also establishing agreements to pay royalties if annual sales using the licensed inventions exceed specified amounts. Specific amounts would be negotiated case-by-case based on collaboration details, with inputs from the involved university investigators as appropriate. Such arrangements may prove mutually beneficial to universities and to industrial sponsors in that they reduce IP-value speculation for universities while providing more predictable IP-costs for sponsors

Kim Moreland,

Associate Vice Chancellor for Research and Sponsored Programs, University of Wisconsin - Madison



It's not Sherlock Holmes, but there's a lot of mystery. I'm reading the single most significant change to research administration in the last 50 years – OMB's OmniGuidance. It's the consolidation of eight Federal circulars into a single document. The basis for the revisions was an acknowledgement by the White House that the administrative burdens associated with Federal grants had reached a level that interfered with scientific discovery. Now, the research community will devote its attention to understanding the implications of these reforms. We need to craft changes in our own policies and practices that conform to the Guidance and can withstand the challenge of auditors while still providing our researchers with the flexibility essential to their work. Where's Dr. Watson when you need him?

NCURA Education Scholarship Fund

NCURA received a generous gift from Jerry Fife, an NCURA past president from Vanderbilt University to provide financial assistance to support continuing educational and professional development needs for NCURA members. His challenge was to match and surpass his gift in matching funds by 2021 in order to create a sustainable source of funding scholarships. NCURA has set an initial goal of \$100,000 in response. A task force, with members from each region, is hard at work blending business and marketing plans for this new initiative. Fundraising plans at the upcoming FRA/PRA Conferences in March include a booth and regional challenges. Look for updates at your regional meeting on progress and activities being planned at AM56. Feel free to contact any of the Task Force members for more information.

Has NCURA made a difference in your professional life? Do you want others to have the opportunity to receive professional development? Can you help us meet our goal of \$100K by 2021?

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We need your help. Even a little makes a difference.

Please visit us at the FRA & PRA meetings in San Francisco to learn more and make your tax-deductible contribution.

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Task Force Members:

Pam Whitlock, Chair, *University of North Carolina at Wilmington (emeritus)*

Bob Andresen, *University of Wisconsin - Madison*

F. John Case, *Morehouse School of Medicine*

James Casey, *Carnegie Mellon University*

Jerry Fife, *Vanderbilt University*

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Kris Monahan, *Providence College*

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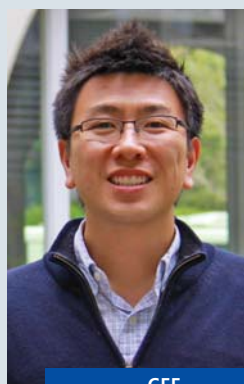
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International University Research Administrators

By Keiko Okano



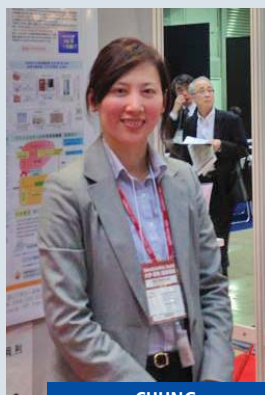
BERING



GEE



KUSTERS



CHUNG



WANG

As young as the Japanese URA system is, we are fortunate to already have some colleagues from overseas. Their number is growing slowly but steadily. For this issue, I asked them to tell us how they came to Japan and became URAs, what they do, and what it is like to be an international URA in Japan.

Harold Kusters

Research Administration Office, Kyushu University, kusters@imaq.kyushu-u.ac.jp

I had a passion for Japan since I was young, so doing Japanese Studies at Leiden University in the Netherlands was a logical choice for me. After graduation, I was awarded a scholarship to study Japanese Linguistics and Education at Hiroshima University from which I graduated with a Ph.D. in 2003. After working at Mazda Motor Corporation for 5 years, I returned to Hiroshima University to work as a coordinator for University-Industry-Government Collaborations. Here I first encountered Research Administration when I supported researchers to submit proposals to funding agencies. In October 2012 I applied for the current position as research administrator at Kyushu University, in Fukuoka, Japan.

My role as a research administrator at Kyushu University is to establish the infrastructure to apply for foreign sponsored research. I also coordinate joint research between the university and foreign organizations. As an example, I support the administration of research between the International Institute for Carbon-Neutral Energy Research ("I2CNER") and a satellite established on the Illinois University campus for the promotion of international research.

Working as a research administrator in Japan has some challenges like the Japanese language and a culturally different working environment. However, the biggest challenge is the recognition as a research administrator, since the concept is rather new in Japan. It would be nice to have exchanges of research administrators between NCURA and a future Japanese counterpart to learn from each other's experiences.

Kristian Bering

Support Office for Large-Scale Education and Research Projects, Osaka University, bering@lserp.osaka-u.ac.jp

I am a Danish citizen with an academic background in early modern Japanese Literature. After about 16 years in Japan in total, I now speak, read and write Japanese on a level that allows me to feel comfortable working in a fully Japanese environment on equal terms with my Japanese colleagues at Osaka University.

In spite of my thoroughly humanist background, I decided to venture into the completely different area of innovation and triple-helix collaboration in 2009, when I joined Osaka University's Office for University-Industry Collaboration (UIC) as a coordinator with responsibilities for planning and promotion of

(URAs) in Japan

international collaborations. Initially, my responsibilities centered on administrative tasks relating to symposia and workshops, but gradually I became involved in marketing and basic technology transfer functions.

Last year in November I moved into my present position as a research administrator (URA) at Osaka University's Support Office for Large Scale Education and Research Projects (LSERP). The move from UIC to LSERP came about as a result of a need to renew my contract with the UIC and I seized a welcome opportunity to become involved in the important task of supporting research in the humanities. My mission is dedicated to research administration work that strengthens the humanities and social sciences, and to do so I focus on support and promotion of interdisciplinary research and international collaborations that center on the human dimension.

Peter Gee

Public Relations Research Administrator, Kyoto University,
pgee@icems.kyoto-u.ac.jp

After obtaining my Ph.D. in virology from Kyoto University, Japan in 2013, I began to explore new career opportunities away from the bench. Fortunately, I found a research administrator position in the public relations department at Kyoto University's Institute for Integrated Cell-Material Sciences (iCeMS) soon after I graduated — a center established with the support of the Japanese Ministry of Education to break new ground in research and to recruit top-level scientists from around the world.

As part of a dynamic and motivated team, our main responsibilities include increasing the global visibility of iCeMS by highlighting key research findings, which are published in high impact factor journals, and distributing press releases to international news outlets. The challenge to convey complex research that targets a lay audience, while difficult at times, has been a rewarding experience. This position has also given me the opportunity to stay involved in science while working closely with researchers to ensure that the information we are disseminating is accurate and distributed in a timely manner.

Now is an exciting time to be a research administrator in Japan, especially at Kyoto University, where we are pioneering new efforts to accelerate and support research activities.

Ho Le Chung

Organization for Research and Community Development, Gifu University,
hochung@gifu-u.ac.jp

Before coming to Japan, I graduated from the Hanoi National University-University of Social Sciences and Humanities, Faculty of Ori-

ental Studies, where I learned about Japan comprehensively, including Japanese language, economic history, culture, and political system for 4 years. In October, 2002 I received a scholarship from the Japanese Ministry of Education for studying English education as a research student at Gifu University. Then I continued my study at the same university for my master's and doctoral degree, in Regional Studies and in Agricultural Sciences, respectively. After receiving the doctoral degree, I worked there as a research staff until March, 2012. I received an offer from Gifu University and started working as a URA in the Department of Research Promotion, Organization for Research and Community Development in April, 2013.

I have been in charge of the investigation and analysis of collaborative activities with local governments in Gifu Prefecture and external funding of Gifu University, assisting some joint research between Vietnamese research institutes and Gifu University. Currently I'm taking part in planning a joint research projects between the Vietnam Ministry of Agriculture and Gifu University. I think that working in Japan as a URA lets you make good use of your experience and connections, which is very enjoyable and fulfilling.

Shwu-Jen (Suzan) Wang

Senior University Research Administrator, Tsukuba University in Ibaraki, Japan,
wang.jen.fp@un.tsukuba.ac.jp

After I earned my Ph.D. in Economics from the University of Tokyo, I worked as a director of the Integrated System Design Environment R&D Center in a city university. I did both pre- and post-award works, from applying for funding and domestic/international patents to organizing research projects and international conferences. These experiences provided me with a valuable asset as a URA. I also learned the importance of cross-national partnerships as an effective way to promote research and to motivate researchers to bring their research standards to a global level.

Next I took a position as a project manager at a national graduate university. Then, when the Minister of Education and Technology started the URA system, an opportunity opened up for me to join Kyushu University as a URA. At this renowned national university, I gained experience of starting big projects, like the ones that can benefit the entire research community at the university. I also had the chance to work on projects involving research indicators and outcomes, assisting research from various approaches.

I then transferred to Tsukuba University as a senior URA. My goal at this new position is to propose and implement structural changes to the research environment of the university, so that it will be able to achieve unprecedented results. I believe that creating truly transdisciplinary researches will be the next big challenge we will have to address, among many other issues that the Asian research community currently faces. ■



If the thought of research compliance makes many a research administrator shudder, the notion of dealing with select agent rules is likely to make us duck and hide. These regulations, in fact the whole notion of select agents, are less than a decade old. The list of regulated materials seems to change often, and the management of these programs requires a level of technical expertise that few individuals have. Marc Rubin and Jennifer Scharf-Deering have provided an overview of select agent programs, why research conducted using select agents is important, and the challenges our institutions face as research involving select agents continues to move forward. Marc and Jennifer have also provided links to the key applicable regulations. ***Select Agents.....if the phrase immediately makes you think of Michael Crichton's 1969 novel The Andromeda Strain, take a few minutes to read this informative, and far less frightening, article.***

Toni Shaklee, NCURA Magazine Co-Editor

An Overview

Select Agents

By Marc Rubin and Jennifer Scharf-Deering

Multiple agencies and entities regulate handling of “select agents” and certain toxins that have the potential to pose a severe threat to public health and safety. Numerous regulations apply to the possession, use, and transfer of certain biological agents and toxins, and to recombinant and synthetic nucleic acid experiments involving those agents and toxins. The determination and definition of what materials are regulated as select agents and toxins depends on a number of factors. These include the effect of exposure to human, animal, and plant health; the pathogenicity and contagiousness of the agent; what therapies or measures exist to counteract exposure; and other criteria, including how vulnerable populations may be affected. The lists of agents are reviewed and revised at least every two years, with more frequent updates as needed. Lists of these agents, developed through a collaboration of 21 governmental agencies, can

be found*: The lists are categorized by their potential targets: humans, humans and animals, animals only, and plants only.

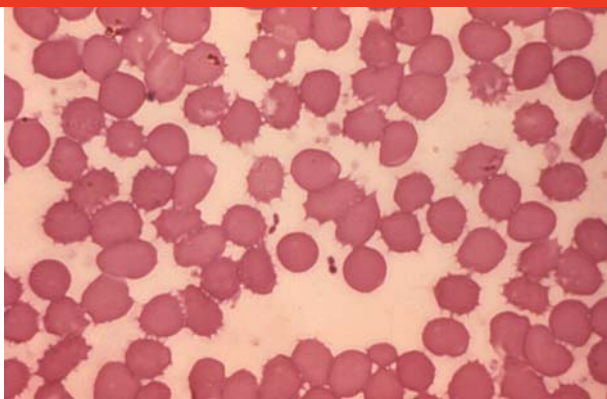
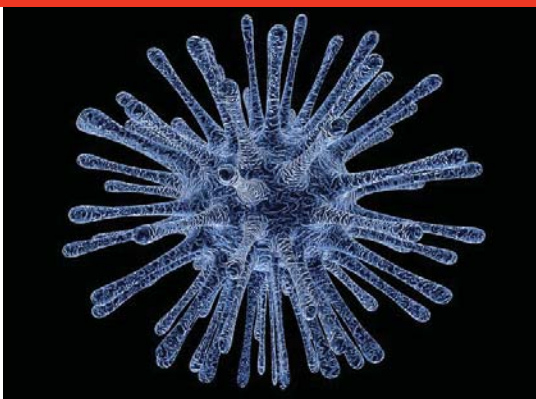
The federal Select Agents Program was created to prevent the release of materials that have the potential to be used in acts of terrorism, including developing weapons of mass destruction (WMD). The aim of the Program is to control access to restricted materials through physical, administrative, and personnel controls. The Program is managed by the Centers for Disease Control and Prevention's (CDC) Division of Select Agents and Toxins, and the U.S. Department of Agriculture's (USDA) Animal and Plant Health Inspection Services (APHIS) and Agricultural Select Agent Program. These agencies oversee activities and register all laboratories and other entities in the USA that possess, use, or transfer a select agent or regulated toxin.

The current Select Agents Program originated in 1997 as a simple list of potential materials that could affect humans, which was known as the Biological Select Agents or Toxins (BSATs). It was dramatically expanded in 2001, in response to the USA Patriot Act.

The Select Agents Program greatly enhances the nation's safety and security by:

- Developing, implementing, and enforcing the Select Agent Regulations
- Maintaining a national database containing information on all entities in possession of select agents
- Inspecting entities that possess, use, or transfer select agents
- Ensuring that all individuals who work with these agents undergo a security risk assessment performed by the Federal Bureau of Investigation (FBI)/Criminal Justice Information Service
- Providing advice to regulated entities on achiev-

* <http://www.selectagents.gov/Select%20Agents%20and%20Toxins%20List.html>



ing compliance to the regulations through the development of guidance documents, conducting workshops and webinars

requires proper training by occupational health experts and records of background checks to ensure assessment of personnel suitability. Reviews of personnel include laboratory workers, animal

- Procurement and Purchasing
- Research Administration and Compliance, including Grants and Contracts
- Human Resources

and Toxins:

- Investigation of any incidents in which non-compliance with regulations may have occurred

Institutional Program Structure and Requirements

Institutions are required to register with and be certified by the CDC and/or USDA if any individuals in the institution possess, use, or transfer select agents and toxins. Research administrators and investigators who are considering work with select agents, should contact their institution's responsible official—usually the Biosafety Officer—to assure facilities and procedures are adequate for safe handling, containment, and disposal.

At an institutional level, the select agent program must include a robust plan and procedure to ensure physical and information security. The institutional program must also conduct ongoing security risk assessment for the prevention of acts of bioterrorism, and have a safety and incident response plan in place to address any issues, concerns, or incidents. The institutional program

care staff, cleaning and other facilities support staff. Visitors to secured laboratory space must also be assessed for suitability.

Institutions conducting research with select agents are expected to convene review committees that include representation from offices and departments that must collaborate and communicate to support safe research with select agents and toxins in compliance with applicable regulations. Many institutions rely on their Institutional Biosafety Committee (IBC), or a special subcommittee of the IBC, for expertise with review of projects with select agents and toxins. Committee members typically include representatives from the following institutional offices and departments:

- Biosafety Officer or Responsible Official
- Environmental Health and Safety
- Laboratory Safety
- Institutional Biosafety Committee
- Institutional Animal Care and Use Committee (IACUC)

How can Research Administrators Facilitate Select Agents Research?

Research administrators can help their institutions and investigators by recognizing the types of research projects that fall under the Select Agents Program. Administrators should know who is responsible for select agents and toxin review at their institution and should communicate with this individual to assure research under the federal Select Agents Program is conducted responsibly.

There are additional costs to conduct compliant and safe research with select agents and toxins. Investigators must have the ability to maintain proper access control to space and materials. Laboratory space also may require special ventilation or specific equipment to comply with the recommended biosafety level designation. Facilities renovations for security and air-handling can be one-time costs supported by departmental or institutional funding. Additional line items in the research budget over the life of the project might include: additional or specialized personal protective equipment (PPE); added costs for handling, shipping and storage of select agents and toxins; payment for personnel security clearance with the US Department of Justice; and resources for waste-handling and clean-up.

Administrators and investigators must also manage responsibilities related to administrative review processes and record-keeping requirements targeted to select agents research. These include:

preparation and filing of security clearances; development of standard operating procedures; application for review by the appropriate institutional safety and ethics committees, including select agents committee; and completion of required training. Satisfaction of these requirements for space and administration may add both additional time and financial costs.

Why Use Select Agents in Research?

Most research using select agents and other hazardous toxins is for the development of countermeasures and protections against the agents themselves. Previous research, using what are now classified as select agents, has yielded vaccines,

pharmaceuticals, and other treatments to combat disease caused by agents, including smallpox, anthrax, and the Ebola virus (National Research Council, 2009). Continuing efforts against these— and as yet unknown— dangerous pathogens will improve our capacity to treat and prevent outbreaks when they occur. Supporting advances in improving current technology and developing new technologies has the potential to enable more rapid detection of the presence of these materials in the environment.

The value of research with select agents is not limited to the development of medical countermeasures; in fact, greater understanding of such materials will also enhance the ability to respond to a wide range of infectious diseases. Enhanced

understanding of even a small subset of pathogens can lead to strategies for responding to a much wider range of infectious diseases. There is a need to support and extend the reach of research beyond those agents of most acute concern to the much wider array of organisms with significant public health implications (cf. National Research Council, 2009).

Institutions and administrators need to have a plan in place to address upcoming research to remain competitive and keep research funding for a range of projects. Smaller institutions with less space and limited or inappropriate infrastructure may want to partner with their larger affiliates and colleagues to share resources and expertise.

NCURA Select Committee on Peer Review *Goodbye and Welcome*



Andresen

With the close of 2013, NCURA wishes to thank and acknowledge the outgoing chair of the Select Committee on Peer Review. Bob Andresen, University of Wisconsin – Madison, served as chair of this Select Committee for the past 3.5 years.



Beginning in 2014, the Select committee membership will include:

Kerry Peluso, Emory University, Chair

Pete Koch, University of Cincinnati, Vice Chair

Gunta Liders, University of Rochester

Beth Seaton, Northwestern University

Peggy Lowry, Program Manager, NCURA Peer Review

Kathleen Larmett, Executive Director, NCURA



Peluso



Koch



Liders



Seaton



Lowry



Larmett

Hot Topic: Gain-of-Function Research

Studies designed to increase the ability of a virus to infect and kill organisms, are part of a class of research known as “gain-of-function studies.” These studies, and others like them, are also classified as “dual-use.” In particular, studies into highly pathogenic avian influenza (HPAI) H5N1 viruses, more commonly known as “bird flu,” are developed and conducted to raise awareness of the impending possibility of a flu pandemic in humans, improve disease surveillance, and aid in building better countermeasures against flu (Evans 2013).

Despite these potential benefits, there is reasonable and justified fear that the research could lead to the accidental or intentional release of a new, deadly strain of bird flu. Recognizing dual-use research may be easy, deciding what to do is a “fraught exercise” (Evans 2013). Evans (2013) states, “... [T]here is a fine line between creating a new strain of avian influenza to better understand how to defend against infectious disease, and using the same strain to cause a deadly pandemic.”

At the end of 2012, HHS guidelines were created for determining funding of dual-use, gain-of-function research into avian flu. Under the new policy, gain-of-function studies must meet the following criteria in order to secure funding from HHS:

- The research addresses a scientific question with high significance to public health
- The research does not intend, nor is reasonably anticipated to yield a HPAI H5N1 experimental virus which has increased transmissibility, pathogenicity, or expanded host range, unless there is evidence that such a virus could be produced through a natural evolutionary process in the foreseeable future
- There are no feasible alternative methods to address the same scientific question in a manner that poses less risk than does the proposed approach
- Biosafety risks to laboratory workers and the public can be sufficiently mitigated and managed
- Biosecurity risks can be sufficiently mitigated and managed
- The research information is anticipated to be broadly shared in order to realize its potential benefits to global health
- The research is supported through funding mechanisms that facilitate appropriate oversight of the conduct and communication of the research

Challenges and Future Directions

Control of biological material has become a much greater emphasis of national security as the ability of terrorists to obtain and use biology as a

weapon has grown. There have been great advances recently in the ability to perform genetic modifications that once were only possible in expensive well equipped laboratories. Groups including DIY BIO <http://diybio.org> are grassroots hobby groups that strive to replicate many of the more expensive pieces of equipment found in the professional biology laboratory. While well intentioned, these groups are developing capability that could be misused. ■



Marc D. Rubin has worked at Case Western Reserve University (CWRU) for 21 years in the Environmental Health and Safety (EHS) Department. He is the Senior Director of EHS and a Registered Biosafety Professional (RBP) through the American Biological Safety Association. Current committee memberships include: State of Ohio Hazmat, WMD Technical Assistance, CSHEMA Laboratory Safety, and CWRU IACUC and IBC. He can be reached at mdr6@case.edu



Jennifer (“JC”) Scharf-Deering, MA, CIP, is an Assistant Director in the Office of Research Administration at Case Western Reserve University (CWRU). She manages the Institutional Biosafety Committee and the Human Stem Cell Research Oversight Committee, and is a Certified IRB Professional. JC also represents the interests and concerns of the IBC and the HSCRO on several CWRU safety and ethics committees, including the CWRU IACUC and Laboratory Safety Committees. She can be reached at jcs12@case.edu

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- <http://www.selectagents.gov/Select%20Agents%20and%20Toxins%20List.html> Accessed January 7, 2014.

Annotated Quick Links to Key Applicable Regulations (All accessed January 15, 2014)

42 CFR Parts 72 and 73, 42 CFR Part 1003 RIN 0920-AA09 Possession, Use and Transfer of Select Agents and Toxins; Final Rule.

<http://www.selectagents.gov/Select Agents and Toxins list.html>

This regulation covers select agents which target humans.

7 CFR Part 331 and 9 CFR Part 121 Agricultural Bioterrorism Protection Act of 2002; Possession, Use and Transfer of Biological Agents and Toxins; Final Rule.

<http://www.selectagents.gov/Regulations.html>

These regulations include the overlap list in the HHS regulations, as well as a list of select agents affecting only animals and plants. NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules http://oba.od.nih.gov/rdna/nih_guidelines_oba.html

These regulations apply to work with recombinant and synthetic nucleic acid molecules.

UF researchers find that 'peanut butter' test can help diagnose Alzheimer's disease
http://www.youtube.com/watch?feature=player_embedded&v=z1mcAAgrCnw



GAINESVILLE, Fla. — A dollop of peanut butter and a ruler can be used to confirm a diagnosis of early stage Alzheimer's disease, University of Florida Health researchers have found.





Cool Research Project Spotlight

Jennifer Stamps, a graduate student in the UF McKnight Brain Institute Center for Smell and Taste, and her colleagues reported the findings of a small pilot study in the *Journal of the Neurological Sciences*.

Stamps came up with the idea of using peanut butter to test for smell sensitivity while she was working with Dr. Kenneth Heilman, the James E. Rooks distinguished professor of neurology and health psychology in the UF College of Medicine's department of neurology.

She noticed while shadowing in Heilman's clinic that patients were not tested for their sense of smell. The ability to smell is associated with the first cranial nerve and is often one of the first things to be affected in cognitive decline. Stamps also had been working in the laboratory of Linda Bartoshuk, the William P. Bushnell presidentially endowed professor in the College of Dentistry's department of community dentistry and behavioral sciences and director of human research in the Center for Smell and Taste.

"Dr. Heilman said, 'If you can come up with something quick and inexpensive, we can do it,'" Stamps said.

She thought of peanut butter because, she said, it is a "pure odorant" that is only detected by the olfactory nerve and is easy to access.

In the study, patients who were coming to the clinic for testing also sat down with a clinician, 14 grams of peanut butter — which equals about one tablespoon — and a metric ruler. The patient closed his or her eyes and mouth and blocked one nostril. The

clinician opened the peanut butter container and held the ruler next to the open nostril while the patient breathed normally. The clinician then moved the peanut butter up the ruler one centimeter at a time during the patient's exhale until the person could detect an odor. The distance was recorded and the procedure repeated on the other nostril after a 90-second delay.

The clinicians running the test did not know the patients' diagnoses, which were not usually confirmed until weeks after the initial clinical testing.

The scientists found that patients in the early stages of Alzheimer's disease had a dramatic difference in detecting odor between the left and right nostril — the left nostril was impaired and did not detect the smell until it was an average of 10 centimeters closer to the nose than the right nostril had made the detection in patients with Alzheimer's disease. This was not the case in patients with other kinds of dementia; instead, these patients had either no differences in odor detection between nostrils or the right nostril was worse at detecting odor than the left one.

Of the 24 patients tested who had mild cognitive impairment, which sometimes signals Alzheimer's disease and sometimes turns out to be something else, about 10 patients showed a left nostril impairment and 14 patients did not. The researchers said more studies must be conducted to fully understand the implications.

"At the moment, we can use this test to confirm diagnosis," Stamps said. "But we plan to study patients with mild cognitive impairment to see if this test might be used to predict which patients

are going to get Alzheimer's disease."

Stamps and Heilman point out that this test could be used by clinics that don't have access to the personnel or equipment to run other, more elaborate tests required for a specific diagnosis, which can lead to targeted treatment. At UF Health, the peanut butter test will be one more tool to add to a full suite of clinical tests for neurological function in patients with memory disorders.

One of the first places in the brain to degenerate in people with Alzheimer's disease is the front part of the temporal lobe that evolved from the smell system, and this portion of the brain is involved in forming new memories.

"We see people with all kinds of memory disorders," Heilman said. Many tests to confirm a diagnosis of Alzheimer's disease or other dementias can be time-consuming, costly or invasive. "This can become an important part of the evaluation process."

For more information, contact the McKnight Brain Institute at 352-273-8500 or visit <http://mbi.ufl.edu>. The McKnight Brain Institute of the University of Florida is one of the nation's most comprehensive and technologically advanced centers devoted to discovering how the normal brain operates, and how we can repair the brain following injury, disease, or aging.

If you want to share a "cool" project idea, please email Danielle Anthony at danthony@wsu.edu 

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University of Florida News (2013, October 8). *UF researchers find that 'peanut butter' test can help diagnose Alzheimer's disease*. Retrieved January 22, 2014 with permission from the University of Florida. Original Article at: <http://news.ufl.edu/2013/10/08/alzheimers-test>

Growing the Scholarly and Research Enterprises at PUIs through Customer Service

By Melody Bentz

Exceptional customer service is one way to grow the scholarly and research enterprises at your campus. This article offers strategies that make a huge impact, not only on your everyday work life, but that of your customers' as well. Going that extra mile begins with a single step.

Add Value And Make Life Easier The University of Hawai'i (UH) System is comprised of a flagship research campus (UH Mānoa), which holds land-, space- and sea-grant designations, three baccalaureate campuses (UH Hilo, UH West O'ahu and Maui College) and six community colleges. UH also serves Hawai'i through university and education centers, and medical and research facilities located on six islands.

In 2007, the Office of Research Services' senior administrator recognized that scholarly and research enterprises could grow by expanding services throughout the system. Since then, satellite service centers have been established at key locations including Kaka'ako, Maui, West O'ahu, and Mānoa, as a commitment to excellence to add value and to make life easier. While service centers provide cradle-to-grave services, support and specialized services such as administration, contracts, compliance, IT and accounting remain at the systems office. This model establishes a single point of contact to make life easier for the customer from proposal development to award closeout. Though predominantly undergraduate institutions (PUIs) and community colleges have teaching at their core, the presence of satellite service centers reaffirm that they make valu-

able contributions and are important to UH's scholarly and research enterprise.

Make Customer Service A Priority Given the modest grant seeking history at some UH campuses, it is essential that the satellite service centers make customer service a **TOP** priority. Wikipedia defines customer service as "the provision of service to customers before, during and after a purchase." For the research administrator, whether you provide pre-award, post-award, specialized or cradle-to-grave services, seldom can you do your job effectively without customer interaction.

Research administration is a deadline-driven and emotionally draining profession. Delivering exceptional customer service on a regular basis may prove to be difficult or at times an impossible task. It's not unusual for research administrators to receive frantic communications from their customers — sometimes daily. How we **choose** to deal with the situation (yes, it's a choice) is key to our success at getting the job done in an effective and timely manner...one that leads to a positive experience for all.

Know Your Customers In research administration there are customers at all levels. For instance, within the institution there is a range of primary, secondary, and perhaps tertiary customers. Faculty, staff, and senior administrators may be primary customers; whereas, institutional service providers such as accountants, auditors, attorneys, and librarians may be secondary. Students may be direct or indirect customers. Outside of the institution, other cam-

“People don’t care how much you know until they know how much you care.”

John C. Maxwell

puses, collaborative partner sites or sponsors may be external customers.

Customer service begins with the initial greeting, whether it’s in person, on the phone, via Skype, or through email. Using good people skills will increase the chances for a positive first impression. To get to know your customers:

- Keep a communications log of who is contacting you, whom you are contacting, the nature of the inquiry, and how you respond. Don’t forget to include your colleagues. Ask yourself: Was the experience positive for one or both? What could have been done differently to make it a better experience?
- Look at your list. If your customer walked through your door, would you recognize them? If not, look them up on Google, Facebook, LinkedIn or other social media sites. If they are within your organization, search to see who they are and what they do. Add value to your relationship by incorporating what you’ve learned into your next communications to let them know you are interested. When you have a face to go with a name, you establish a connection that shows you care, making it easier for the two of you to have a more positive relationship in the future.

Be A Good Communicator Once the initial meeting is over, how you respond to your customers’ communications influences how you are perceived as a person, a professional, and a peer. In this technological age, it’s so easy for you to make a great impression. It’s also even easier for you to make a bad one. You want to ensure that your communications are always friendly, helpful and positive. Ask yourself: Do I respond promptly to emails and phone messages? Do I follow up

when promised? Are my responses appropriate and reflect favorably on me and my office? If you answered “no” to any of these questions, here are some ways to improve your communications skills.

- Many times, your customers will work on their projects around their teaching schedules. This often results in you getting emails after business hours. While you do not need to be on the clock 24/7, you can use technology to your advantage and send a quick acknowledgment with minimal effort such as: “I received your [email/phone call] and I will get back to you first thing [Monday morning].” The key is to follow through as promised. It’s helpful to set up a reminder in your calendar. You will be surprised how positive an impression you can make with a simple 30-second response.
- Have you ever received an email that makes you ask “What are they thinking?” Your first reaction may be to put them in their place or set them straight. If you feel the need, you can certainly write that email to get it off your chest; however, **don’t send it!** It’s not easy to take things back once the communication has been made. Your answers to sensitive emails and phone calls will require you to demonstrate a great deal of finesse and restraint. In these cases, it’s important to send that “I will get back to you soon” email. Take time to sit back, breathe, mull it over or discuss it with your supervisor or a colleague. Once you are composed, put a smile on your face and write your response. You will be happy you waited!
- Take a proactive approach to addressing your customers’ needs. For example, when you have your customers trained to submit federal reports using a specific process, determine how you can adapt that same process to other expectations you have of them. Standardizing processes will lessen training time and help

customers adapt quickly and easily. Proactive behavior makes you their friend... reactive behavior makes you defensive.

When evaluating customer service, think back to how you've been treated as a customer. It's not easy to forget a bad experience...it will stay with you for life. Whether it was good or bad, add value to your job by learning from your own experiences.

Be A Good Listener Being a good listener is essential to being a good communicator. Addressing customer issues effectively and promptly necessitates taking time to actively listen to the entire problem or read their correspondence carefully. It's important to grasp the full meaning since many issues require the guidance of others. To make life easier, take notes during a meeting or phone call. At the end, review them with the customer to ensure you have captured their needs accurately. The same is true with written communications. If you are unsure about any part of their communications, ask questions—get clarification!

Word Of Mouth Is Very Impactful Word of mouth is powerful: while good news travels fast... bad news travels even faster. It's human nature for people to share their experiences with others, especially bad ones. When a customer's experience is a positive one, you may not hear anything. Cling to the saying "No news is good news." However, it's almost a guarantee that a bad experience will make its way through the grapevine and come knocking at your door. If you do reap rewards, accept your good fortune with a smile and take pride in a job well done!

Go the Extra Mile! In 2011 UH launched its *my-GRANT* electronic research administration program to streamline tedious paperwork processes. Now, customers are no longer overburdened with walk-

"Here is a simple but powerful rule: Always give people more than what they expect to get."

Nelson Boswell

ing forms around for signatures. Although it is preferred that an organization promote exceptional customer service as their mantra, it's not necessary. All it takes is for one individual to be willing and committed to raising their standards of service. As colleagues see the benefits of how good service adds value to the organization and its relationships with customers, they will find ways large and small to make positive impacts.

Clearly, customer service makes a difference! It's as simple as asking "What would my customers' experience be like if I weren't here for them?" Due in part to the extended customer service offered by satellite service centers, proposal submissions at UH have increased by 14%. If you can say that because of **your** contributions you have made a positive impact on your customers' scholarly and research endeavors then you have reached your service goals. By demonstrating exceptional customer service you will lay a solid foundation that you are a knowledgeable, caring and dedicated research administrator. As your relationships grow your customers will learn to trust you and your expertise and that they can rely on you to "go the extra mile" for them. Ultimately, exceptional customer service will keep your customers coming back to you for more. ■



Melody Bentz, CGP, is a Contracts and Grants Specialist for the University of Hawaii (UH), Office of Research Services where she helped establish the UH West O'ahu Satellite Service Center, assisting faculty and other research administration staff with services from searching for funding opportunities that are the right fit for their projects to project closeout and most everything in between. Before arriving at UH in January 2012, she worked at East Carolina University (ECU) as a Program Specialist for the Thomas Harriot College of Arts and Sciences where she helped launch the first Office of Research. Prior to her work in the college, Melody was a Grants and Contracts Officer with ECU's Office of Sponsored Programs. In 2001, she began her career in Research Administration at a small PUI, Montana State University-Northern, where she held the positions of Grants Administrator and Director of the Sponsored Programs Office. Melody can be reached at mbentz@hawaii.edu



RESEARCH DEVELOPMENT: WHO DOES THIS WORK?

By M. S. AtKisson

Whenever I am asked for advice in starting a research development office, the first thing that comes to mind is that you need the right people. They need to have good interpersonal skills, an entrepreneurial approach, the skills to write persuasively, an ability to manage competing demands, the experience to read a complex RFA, and an obsessive attention to detail. They also need to be able to work well alone and in teams. This sounds like an impossible ideal, but such people are out there, and you can find them. Frequently, though, they don't come through any prescribed path.

When a university sets out to create in-house research development capacity, it may choose to look for someone with experience or to develop talent from their existing staff. All of us have learned on the job. "My only experience had been with NSF," says Amy Gantt of Tufts University. "I wish I'd known more about how other funding agencies work, and I wish I'd known more about the culture of different directorates and Institutes/Centers when I started." It's rare to find one person with the breadth of experience needed.

I came into research development from the research side and then through freelance work as a grant writer. Kathy Cateno of the University of New Hampshire spent twenty years as the executive director of the office of sponsored research. Amy Gantt came to Tufts as a freelance writer with a background in sociolinguistics. Lynn Stearney of University of Oregon served as a foundation relations officer for many years, and her academic background is in Rhetoric. None of us expected to become research development professionals.

Wherever we started, we share a love for the work. "My favorite part of the job is helping faculty get funded," says Amy Gantt, while Lynne Stearney says, "I find this work endlessly fascinating. There is always more to learn!" This curiosity and interest, even from a generalist perspective, plays a large role in earning faculty trust, which is essential in order to be effective. Engagement in the subject also helps in the mechanical parts of proposal development, such as identifying when a biosketch needs to be revised in order to match the current project (not the last one).

There is now a professional group, The National Organization of Research Development Professionals (NORDP), which has been instrumental in defining the parameters of research development

and identifying the areas where it differs from and dovetails with research administration, communications, and development. They are also actively creating career development resources through their annual meeting and webinars that can help accelerate the training of new staff beyond on-the-job experience.

In addition to permanent staff, some universities will bring in specialized capacity from outside consultants. This is useful when the skill set does not exist in house. For example, the group I work for, Grant Writers' Seminars and Workshops, offers many services but focuses primarily on faculty development through grantsmanship seminars and one-on-one workshops. We bring both breadth and depth to our consultations born from decades of experience across many federal funding types. Kristin Bennett of KB Sciences is a former Department of Energy program officer with extensive experience in federal relations, and her services include helping to marshal and strategically position applications for large centers funded by DoE, NSF and other federal agencies. Joana Rosario of JR & Associates served as a program officer at two NIH divisions, and brings expertise in SBIRs and clinical trials, as well as strategic planning for a university's biomedical research enterprise. This is a small sample of the diversity of research development consultants. If you need expertise for a specialized, consultants can augment your research development capacity.

However an institution chooses to begin, the best hires will echo Kathy Cateno's thought. "When I first came into this position as one person, I wondered what should I do, where should I add value, and how do I help the people who need to be helped?" ■



M. S. (Peg) AtKisson is currently an Associate Member of Grant Writers' Seminars and Workshops. She began work in research development as a contract grant writer in 2001, working with major institutions and professional societies, and founded the Office of Proposal Development at Tufts University. She currently teaches grant writing, consults on individual and large grant applications, and serves on the Membership Services Committee for the National Organization of Research Development Professionals. She received a Bachelor of Science in Biology from Florida State University and a PhD in Neuroscience from Tufts University. She can be reached at m.s.atkisson@mac.com



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Growing Grants

By Ty M. Neffert, Livlondenprosser University

There is a lot of buzz in our research administration community about how to grow the research enterprise. There's agreement that scholarly productivity thrives when grant getting is nurtured, and vice versa. Just as we tend to like people who like us, it seems as though a successful crop of grant proposals is cultivated by the time-tested practices of encouraging positivity and production, and discouraging scholarly infertility. Being humble and modest by nature, it's with some reluctance that I actually have quite a lot of experience and knowledge in this area.

Granted, having an associate's degree in agricultural helps if only for the corollary comparisons. My ag instructors waxed eloquent as to the benefits of alternating crops and fields so that the soil is allowed time to rest and generate. This is an applicable analogy for growing the scholarly and research enterprise.

Like a farmer, a PI who works tirelessly in the same field may inexplicably find s/he is no longer as productive as in the past. This is why the sabbatical was invented. It's the academic equivalent of letting a field lie fallow for a season. PIs thrive when their ideas are given time to germinate in fertile academic climates with positive encouragement (aka sun) rather than negative observations (rain).

PIs do their best work when refreshed. Much like the crucial importance adequate watering plays in agricultural productivity, some even work remotely from local watering holes. In addition to providing life sustaining beverages, such places are locales for cerebral gathering, rejuvenation, and fertility. Finding the right balance of flexibility and encouragement is equivalent to finding the perfect location to get one's Christmas cactus to actually bloom during the holiday. Development and growth is an individual experience, as many of us painfully recall from our junior high days.

But that aside, I've found that whenever I pass the pending proposal cabinet I've had better success if I pull out a random proposal and softly sing a happy, upbeat song. In much the same way that studies have statistically demonstrated that talking to plants helps them grow, the proposals that I've lovingly cradled, cooed over, and to which I've sung the soothing lullabies of my

youth are the ones that are more likely funded and at the budget requested. Admittedly, I'm known in some circles as the "Grant Nurturer." I can't explain it. I simply possess the innate gift of a finely tuned grant thumb.

There are other techniques that have been documented

with some success. While some things thrive in the basement under grow lights and hydroponic soil replacement with righteously chronic results, man, clearly one can't simply water a proposal or the pending proposal file itself. However, my European colleagues have reported marked success if they delicately transport home a handful of proposals (not more than five), cook a delicious dinner, set the dining room table with fine china, dim the lights, light a candle, open a bottle of good claret, and fan the proposal files out on the table exactly between the candle and the glass of wine. Speaking of finely tuned, it seems that whether the proposals are funded at proposed amounts depend on whether or not the meal is sincerely enjoyed while a Pandora romance station is playing throughout the meal (specific recommendations include remixes such as Barry White's "Can't Get Enough Review Love, Babe," or Al Green's "Grants.gov and Happiness").

As I continue to consider how to grow a scholarly and research enterprise, perhaps it is truly based in a balance of finely-tuned social skills and the evasive tenets of nutritional evaluation. It does all appear to boil down to relationship building paired with successful watering and feeding regimes. With that in mind, I think I'll go peruse the Catalogue of Fine Domestic Ales (CFDA) over at OMB (Outpost of Micro-Brews). It's a local joint where PIs and other erudite individuals gather for discussion, contemplation, and intellectual insemination. Some of you may be familiar with its eastern cousin McClellan's. It's been on the corner of A & 21st for decades but they're moving later this year to 2nd near 200 CFR Avenue. Rumor has it that the upgraded and expanded digs will offer more of an open concept floorplan and provide even better facilities. It's very exciting! ■

NCURAbly Pedantic is written by long-standing NCURA members, all under pseudonym protection.



REGION I New England

www.ncuraregioni.org

<https://www.facebook.com/ncuraregioni>



Dear Region I friends,

A great American once sang:

*Here's the thing we started out friends It was cool but it was all pretend
Yeah yeah... Since U Been Gone And all you'd ever hear me say Is
how I pictured me with you That's all you'd ever hear me say*

*But Since U Been Gone I can breathe for the first time I'm so moving
on... yeah, yeah Thanks to you now I get what I want Since U Been
Gone*

Those lyrics are from the smash hit, "Since You've Been Gone," by the very first, and truly the only real American Idol, Kelly Clarkson. It is the song that plays in my head at random times... in the shower... sitting in traffic... even while preparing this article. Such a good song, isn't it? Ha!

By the time this article is published, Region I will hopefully be thawing from the prolific winter, but we have some great opportunities lined up for our members. First, all of our members should have received notice about the migration of the Region I website. Please note that all of our news, announcements, registration links and resources can now be found on www.ncuraregioni.org. Soon we will be able to post personal profiles for our members to serve as an online dating platform. That's not true, but I bet you smiled! Special thanks to Alison Wellman-Smith, Karen Woodward Massey and Peter Hague for making this finally happen.

Have you heard? There's only one OMB Circular now. Can you believe it? It's like the blob just came to D.C. and ate all the Circulars and now there is just one BIG one! Well, we're on top of it. On March 12th, we look forward to a lively discussion between experts from academia and industry on the OMB "Supercircular." The session will take place at Emmanuel College in Boston from 10 a.m.-12 p.m. Please register through our new, awesome website where details of the RADGs can be found.

I want to take a moment to congratulate Barbara Richard who has been appointed to lead the Publications Subcommittee of the NCURA Professional Development Committee. Rumor has it that she will start a column called "Dear Barbara..."

Finally, the Region I Spring Meeting Planning Committee has been hard at work preparing for our meeting "New England: Collaborating Across Borders" at the Mystic Marriott Hotel & Spa. The meeting will run Sunday 4/27/14 through Wednesday 4/30/14. Dr. Karen Antman, Provost, Boston University Medical Campus, will be the Keynote speaker, and there are already over 40 great sessions planned in addition to some great networking events, including Mystic Pizza Night (eating Mystic Pizza while

watching the movie "Mystic Pizza"), as well as a surprise-filled banquet at which we can expect an appearance by Julia Roberts! No, that's not true.

Here's a sample of some of the sessions planned:

- Policy Swap: BYOB
- State-wide Partnership Grants
- Effective Partnering to "Outsource" and In-source Research Administration Functions
- Relationship Building from a New Faculty Perspective
- Starting a Compliance Program at a Small Institution
- Federal FCOI Policy
- IACUC: Auditing and Monitoring IACUC-approved Projects
- FCOI: Real World Solutions for FCOI Compliance and Management
- Export Controls: ITAR Certification Process
- Lessons Learned from Recent Enforcement Cases
- Experiences to Proactively Enhance Our Internal Controls
- Research Misconduct: Best Practices and Lessons Learned
- NIH/NSF/FDP Updates
- Pre Award Budgeting & Indirect Costs
- Complex Proposal Development
- Challenges of International Grants
- Grant Proposal Evaluation and Assessment Plans
- Cultivation of Private Funding
- Establishing a Quality Assurance and Audit Program
- Everything You Need to Know to Close-out an Account
- Research Administration—From Central and Departmental Views
- Cost Transfers
- Introduction to Change & Project Management
- Creating a CRA Exam Preparation Program
- Establishing Research Collaborations with Industry

As you can see, there will be something for everyone. So, don't wait to register or reserve your room! Holler if you hear me! That's it for now, Region I, and remember, "what doesn't kill you makes you stronger... stand a little taller... doesn't mean I'm lonely when I'm alone."

-Kelly Clarkson

Jeff Seo serves as the Chair of Region I and is the Director of Research Compliance at Harvard Medical School. Jeff can be reached at jeff_seo@hms.harvard.edu



REGION II Mid-Atlantic

www.ncuraregionii.org

<https://www.facebook.com/groups/ncuraregionii>



Happy (almost) Spring, Region II Colleagues!

I would like to start by thanking last year's Officers for the outstanding job they did in 2013:

Brian Squilla, Thomas Jefferson University

(Chair); *Greg Slack*, Clarkson University (Treasurer); and *Magui Cardona*, University of Baltimore (Secretary). They helped make 2013 a very successful and productive year for our Region!

I also wanted to personally extend a warm welcome to our incoming Officers: *Jill Frankenfield*, University of Maryland, College Park (Chair-Elect); *Tim Schailey*, Christiana HealthCare (Treasurer-Elect); and *Charles Bartunek*, Johns Hopkins Bloomberg School of Public Health (Secretary).

Spring is always an exciting time to think about new beginnings and personal/professional growth. This has been an especially harsh winter for us all and as you start to thaw out, it's a good time to consider what opportunities you are most looking forward to this year. We have many new regional initiatives and continuing programs about which I am very excited.



Last month we accepted applications for our inaugural year of our mentoring program, the Cheryl-Lee Howard Mentor Me Program. The Program was named in honor of Cheryl-Lee Howard, former NCURA Treasurer and President, among other honors. She was well-known throughout the research administration community as a mentor to both

her staff at Johns Hopkins as well as to the NCURA community at large. For more information on the Mentor Me Program, visit: <http://ncuraregionii.org/mentor-me>

Perhaps you only want to learn about a specific topic – then one of our traveling workshops could be just the answer... Our Professional Development Committee was very busy in 2013, delivering more than 10 workshops on topics such as NIH Training Grants, the OMB Circulars, and Intellectual Property. We have excellent instructors who can bring these topics and more to your campus, or build one specific to your interests and needs. For more information on the Traveling Workshops and upcoming sessions, visit: <http://ncuraregionii.org/pdc>

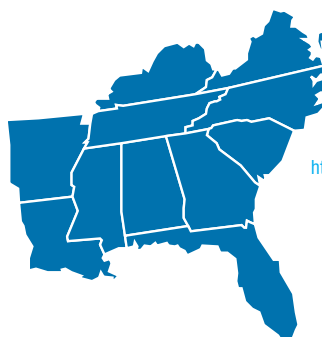
And what better balm for a seemingly never-ending winter than a trip to the beach? This year, we're joining with Region III for a joint Spring meeting, May 4-7 at the TradeWinds Island Grand Resort in St. Pete Beach, Florida! Come interact with your colleagues and attend some great workshops and sessions, while relaxing at a beautiful resort location. Kevin Carroll, Vice-President of Prosthetics for Hanger Prosthetics and Orthotics, will be this year's Plenary Speaker. Some of you will know of Kevin



<http://ncura2014.digitalunited.net/registration>

No matter what your goals are in 2014, Region II has many opportunities for you to grow and succeed. Let's be successful together!

Leerin Shields serves as the Chair of Region II and is the Manager, Contracts and Grants, University of Maryland, Baltimore.



REGION III Southeast

www.ncuraregioniii.com

<https://www.facebook.com/groups/192985687430137>



Once again Region III is home to the BCS Champion! As the celebration of another BCS champion within Region III subsides and we move into spring, it's time to make those final plans for

attending the regional meeting. The 2014 meeting is a joint meeting with Region II and will be held May 3rd – May 7th at the TradeWinds Island Grand Resort, in St. Pete Beach, Florida. Here is another chance for you to sink your toes in the warm sand, soak up some vitamin D, and get up to date on the current government regulations and hot topics in the field. The Plenary Speaker for this year is Kevin Carroll, Vice-President of Prosthetics for Hanger Prosthetics and Orthotics. Kevin is well known because of his work with a bottlenose dolphin named Winter, who was the focus of the 2011 film *Dolphin Tale*. Check out the meeting website <http://ncura2014.digitalunited.net> to get more information on the meeting location, registration and program.

These meetings are an excellent opportunity to network with fellow research administrators while also strengthening your knowledge base and getting the latest news. The volunteers who put this meeting together strive to bring you an informative program that you can take back to your institution and share with your co-workers. In addition to the professional development opportunities, this meeting also provides you with the chance to network with your fellow research administrators and develop your own "think tank" for those situations that arise in research administration that we all struggle with from time to time.

NCURA REGIONAL CORNER

If you are interested in helping, we will need room monitors, mentors, registration desk help, hospitality suite attendants, and conference ambassadors. An email blast will be sent to the Region III members calling for volunteers. Consider making a contribution to your region by volunteering! If you have an interest in volunteering please contact Hagan Walker at haganw@clemsun.edu

Congratulations to the Region III members who earned their CPRA or CRA during the spring exam cycle.

CPRA

Lindsey Hornsby - Georgia State University
Carly Cummings - Mississippi State University
Tina Hood - Mississippi State University
Mickey McLaurin - University of Mississippi

CRA

Chantal Whitfield - Duke University
Vaishale Ratia - Duke University
Yolanda Demory - Eastern VA Medical School
Kristin Onken - Emory University
Raberta McManus - Florida State University
Sharon Rollow - Georgia Institute of Technology
S. Jeffrey Underwood - Georgia Southern University
Jill Borland - Georgia State University
Lillian Winfrey - Georgia State University
Natasha Stark - Georgia State University
Rebecca Trahan - Louisiana State University
Zahid Ashrafi - University of Central Florida
Courtney Bensey - University of Central Florida
Jessica Maass - University of Central Florida
Shannon Moran - University of Central Florida
Charla Campbell - University of West Georgia
Darlene McDaniel - University of West Georgia
Meghan Huber - Virginia Tech

For those of you who like to plan ahead, here are the dates and locations of future meetings to put on your calendar:

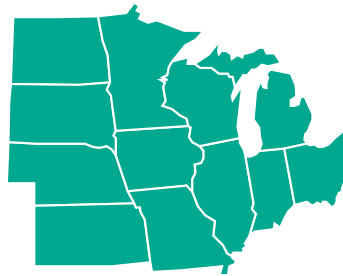
2014 NCURA National Meeting

Washington, DC, August 10th – 13th 2014

2015 NCURA Region III Meeting

Wild Dunes Resort Isle of Palms, SC, May 9th-13th 2015

Bill Lambert serves as Region III's magazine contributor and is Assistant Dean for Research Administration at Emory University's Rollins School of Public Health.



REGION IV Mid-America

www.ncuraregioniv.com



<https://www.facebook.com/pages/Ncura-Region-IV/134667746605561>

"In a world where there is so much to be done, I felt strongly impressed that there must be something for me to do."

– Dorothy Dix

This year, Region IV members are playing significant roles in organizing two national conferences in "Everybody's Favorite City," San Francisco, and you are invited to sign up for one or both events.

Co-chaired by Dave Lynch DLynch@northwester.edu the 15th Annual Financial Research Administration (FRA) Conference on March 15-17, 2014 will help you with "The Practical and the Possible."

Co-chaired by Tricia Callahan callahtl@miamioh.edu the 8th Annual Pre-Award Research Administration (PRA) Conference on March 18-20, 2014 will help you develop "New Connections. New Horizons. New Skills."

Whether you stay late after FRA or arrive early for PRA, consider joining Jeff Ritchie on Monday, March 17, 2014 – St. Patrick's Day – for a no host happy hour. Email ritchije@lewisu.edu for details.

The Region IV Spring Meeting on April 27-30, 2014 will give you your "Keys to Success" and as you make your final preparations to race to Indianapolis, you may wish to visit the regional website www.ncuraregioniv.com/conferences.html to learn more about the following:

Meeting Registration Online. There's still time to register online for the spring meeting! Whether you come for the full meeting or just one day, join the 200+ research administrators, university faculty, vendors, and grant-makers who will be attending this great professional development program.

Final Program Online. The final program with session abstracts is available online; there are myriad concurrent sessions, discussion groups, and case studies from which to choose. An At-A-Glance schedule with the room locations will be included in the materials you pick up from the registration desk.

Session Handouts Online. Presenters are encouraged to post session slides online; you are welcome to view and/or print the ones that are most relevant to your needs. **Reminder:** In our continued effort to be environmentally conscious, hard copy handouts will *not* be distributed at the spring meeting.

I'll Do It! Get into the volunteer spirit by signing up to help at the registration desk, evaluate a session, lead a dinner group, and host in the hospitality suite. Contact Sue Kelch suekelch@umich.edu or visit the regional website. Volunteering even 1-2 hours of your time makes a tremendous difference!

As you can see, there's lots for you to do this spring: build your network, develop professionally, and have fun! Maximize the benefits of your Region IV membership by getting involved in regional and national activities.

Jeremy Miner serves as the Chair of Region IV and is Director of Grants and Contracts at the University of Wisconsin-Eau Claire.



REGION V Southwestern

www.ncuraregionv.com



<https://www.facebook.com/group.php?gid=78596532079&v=wall>

Are you ready to get weird? Join us at our spring meeting in Austin, May 4-7. Our program is packed with a wide array of presentations from "Activity-Based Budgeting" to "Uh oh! But you told me I had funds available!". We also have general discussion groups scheduled for Pre-Award, Post-Award, PUIs, Compliance and International Collaborations, in addition to four half-day workshops. Visit our webpage at www.ncuraregionv.com to peruse the preliminary program, register for the conference or make hotel reservations. Speaking of hotels, we will be housed at the beautiful Westin Austin at the Domain at the very reasonable rate of \$120/night.

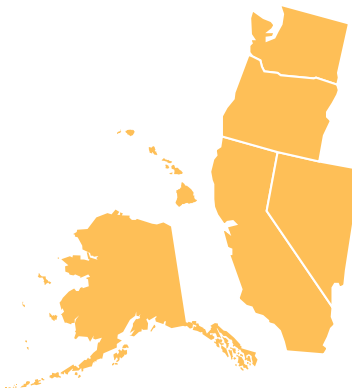
If you are new to Region V, be sure to indicate that on your registration form. We are hosting a Newcomer's Breakfast to welcome our new members and start them on a path to new experiences, new relationships, new information and, of course, lots of fun.

And if that isn't good enough for you, our keynote speaker will be! We are pleased to have Dr. John Goodenough from the University of Texas at Austin. Dr. Goodenough was recently bestowed the Charles Stark Draper Prize for Engineering – the highest honor in the engineering profession – for the creation of the lithium-ion battery.

Please subscribe to Region V's Collaborate page at www.NCURA.edu today. This will ensure you don't miss out on any Region V information. You can follow Region V on twitter @ncura5 and join our facebook page by searching for NCURA Region V.

We look forward to seeing you in Austin! Keepin' It Weird ...

Scott Davis serves as Chair of Region V and is Associate Director at University of Oklahoma Health Sciences Center.



REGION VI Western

www.ogrd.wsu.edu/r6ncura

It looks like 2014 is going to be another busy year for research administrators. We're going to need each other and our network as much as ever. President Obama

has called on Congress to help our institutions to get more research on track. From the State of the Union address, "... Congress should undo the damage done by last year's cuts to basic research so we can unleash the next great American discovery – whether it's vaccines that stay ahead of drug-resistant bacteria, or paper-thin material that's stronger than steel."

Kicking off the conference season for NCURA are FRA and PRA together in Region VI. We are looking forward to this opportunity to welcome our colleagues to our fabulous region and to collaborate on all these new and exciting changes. This will be an exciting time for us to welcome new members and grow our regional network. Please make the most out of this opportunity and join us for a great set of conferences!

As a reminder, our Regional meeting with Region VII will be in October in Reno. The program committee has been formed and is working on a program that will be strong and diverse. We have expanded the program committee to include both experienced members and new members to increase opportunities and expand our volunteer pathways.

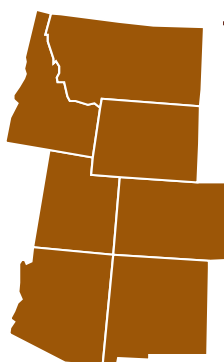
Volunteer Opportunities are growing this year! Allison Ramos who is leading the Volunteers for Region VI shares the following: The Region VI New Member and Volunteer Committee (NMVC) has big plans for 2014. In continued collaboration with Region VII to promote our regional meeting, we are looking to expand NCURA memberships to those institutions that are currently underrepresented, including but not limited to, Hispanic-Serving Institutions (HSI), Tribal Colleges, Minority-Serving Institutions (MI), Historically Black Colleges and Universities (HBCU), and High-Tribal Enrollment colleges, Alaska Native-Serving Institutions by reaching out with information about what NCURA has to offer and the benefits of becoming a member. In addition, our NMVC is going to continue outreach not only to brand new members but also to second and/or third year members to make sure they feel connected to their colleagues across the region and are given the opportunity to get involved. We are calling it... "Colleague Connection." The great part about volunteering is that you can choose from a variety of activities that you feel comfortable with, such as helping at the registration desk during an NCURA meeting, taking photos during a meeting to capture events, leading a dinner group, being a room monitor, participating in social media, etc. Thank you to all past, present and future NCURA volunteers! This organization would be nothing without all of you.

REGIONAL CORNER CONTINUED

A special thank you to the outgoing Regional Officers from 2013: Chair Katherine Ho from Stanford, Secretary Sinnamon Tierney from Portland State, and Treasurer Tim Mildren from Seattle University. Without their extraordinary efforts, we would not be in such a great place as a region.

We look forward to an exciting year!

Samantha Westcott serves as Region VI Chair and is the Manager, Sponsored Projects Team, The Saban Research Institute - Children's Hospital, Los Angeles.



REGION VII Rocky Mountain

www.ncuraregionvii.asu.edu

Hi Region VII Members,

Well, I'm not entirely sure how to begin my first Regional Corner so I guess I'll jump right in.

First, I would like to welcome our new members that may have joined the NCURA family recently, as well as thanking our existing members for their loyalty, even in these tough financial times. Hopefully you will agree that the NCURA programming, workshops, meetings and networking opportunities are a great investment in professional development for you and your institution.

I would like to announce and congratulate our new 2014 regional officers:

Chairperson-Elect: **Christine Marquez**, Lovelace Respiratory Research Institute, New Mexico

Secretary-Treasurer: **Sandra Longue**, University of Colorado, Denver

Regional Member at Large: **Marj Townsend**, Arizona State University

Regional Member at Large: **Julie Gallegos**, University of New Mexico

Immediate Past Chair: **Tony Onofrietti**, The University of Utah

I also want to thank the Region VII 2013 Leadership Committee (Tony Onofrietti, Karen Henry, Lisa Jordan, Vicki Krell, Marj Townsend and Kay Ellis) for providing their talent, time and energy this past year.

Beautiful San Francisco will be the location of the upcoming FRA/PRA conferences scheduled for March 15th through the 20th. If you miss this opportunity I hope you will consider attending either the 56th annual meeting in Washington, DC on August 10th through the 13th or the combined Region VI/VII meeting to be held on October 5th through the 8th in Reno, Nevada. The theme for this year's regional meeting is "Taking a Chance"

although you really won't be taking much of a chance as the programming committee is working hard to bring you an excellent selection of sessions and topics. Just think we have a whole new Omni Circular A-81 to explore and interpret!

If you are feeling like you have some spare time (just kidding) and would like to volunteer for NCURA, we can always use your expertise. Please contact Elizabeth Sexton elizabeth.a.sexton@hci.utah.edu to let us know what area you might be interested in. There are many ways to get involved in your organization.

In closing I would like to let everyone know that if you have something you would like to discuss with me please don't hesitate to send me an e-mail or give me a shout. Here's to hoping we have an early spring!

Leslie Schmidt, serves as the Region VII Chair and is Assistant Vice President for Research at The Montana State University. Leslie can be reached at lschmidt@montana.edu



REGION VIII International

<http://www.ncuraintlregion.org>

Don't forget to renew your membership!

The International region is growing and shrinking at the same time. Many of you found out about, and joined NCURA when you attended your first Annual Meeting or perhaps a Pre-Award or Financial Research Administration Conference. It can be difficult to get support to go to one of the NCURA meetings every year if you have to travel from far away and thus not necessary to renew your membership for that reason.

I would like to try to convince you to renew your membership even if you are not sure you will attend any of the meetings this year. The NCURA membership is of great value to you and your organization throughout the year. You have access to a wealth of useful information on the NCURA web, you get the NCURA magazine and you can network on NCURA Collaborate. Membership also gives discount on travelling workshops and online tutorials which you take if you are not able to travel to a meeting.

The ambition is that the international region also will provide additional value to your NCURA membership. Our goal is to provide more learning and networking opportunities of interest to our international members at NCURA meetings and online. We are organizing our own first international regional meeting in Washington D.C. in April. It is not

too late to register for a fantastic programme on international research administration.

During the spring we will also focus on preparing draft bylaws and administrative procedures to be adopted by our membership. They will among other things regulate the election and responsibilities of regional officers. Look out for more information via email where you also will be able to give feedback on the draft. We aim to have these processes in place for the election of the 2015 officers in the second half of this year. If you want to take part in this journey and support the international region, there are open positions for volunteers. Contact our volunteer coordinator, Bryony Wakefield [email bryonyjw@unimelb.edu.au](mailto:bryonyjw@unimelb.edu.au) - and inform yourself about the open positions. I look forward to seeing you in Washington in a few weeks.

Patriq Fagerstedt serves as the Chair of Region VIII and is the US Grants Coordinator at the Karolinska Institutet.



KEEP CALM and WRITE PROPOSALS

Research Administration Memes Facebook Page —
<https://www.facebook.com/ResearchAdministrationMemes>
Research Administration Memes Twitter Page —
<https://twitter.com/ResAdmMemes>



CONVERSATIONS

We are back with some of our favorite recent Collaborate Community conversation topics! Make sure to login to Collaborate and see what else is being discussed! Popular recent topics include:

In the **Pre-Award Community**, Samantha Westcott, Manager, Sponsored Projects Team for The Childrens Hospital Los Angeles, posted sample guidelines for proposal preparation and submission timeline & guidance.

International Community – “2014 Gates Annual Letter — A Must Read!”, posted by Gail Doran, Center Assistant Director, Administration, Center for Interdisciplinary Research on AIDS at Yale University.

Subcontracting Community – “Metrics”, posted by Collette Ryder, Director, Grants and Contracts at the Children’s National Medical Center. Collette was trying to benchmark how many individual “widgets” (incoming/outgoing subawards, collaboration agreements, etc.) people are having a single person handle at their institutions?

“Letters of support for NIH applications” in the **Pre-Award Community**, by Carolyn Elliott-Farino, Executive Director, Office of Research for The Kennesaw State University, inquired about advice on when you submit a proposal to NIH, do you have other faculty — co-investigators, PIs at subawardees — include letters of support?

Join the conversation at:

<http://collaborate.ncura.edu/home>

NCURA MILESTONES



Bob Lowman retired January 31 from the University of North Carolina at Chapel Hill, where he served as Associate Vice Chancellor for Research for more than 22 years. Previous positions included Associate Vice Provost for Research at Kansas State University, Scientific Affairs Officer at the American Psychological Association, and Assistant Professor of Psychology at the University of Wisconsin-Milwaukee. Bob has been a member of NCURA for more than 35 years and served as a member of the Board of Directors and the Professional Development Committee. He also served as Co-Editor of the NCURA Magazine and as a panelist and moderator on NCURA TV. He presented dozens of workshops and concurrent sessions at NCURA annual and regional meetings and served on the editorial advisory board of Research Management Review for 18 years. In retirement, Bob will continue presenting grant writing workshops at colleges and universities across the country and will devote more time to a family publishing business based in California.

Alexandra McKeown has been appointed Johns Hopkins University's first Associate Vice Provost for Research Administration and, initially, will oversee the research administration offices in the Bloomberg School of Public Health, where she is currently associate dean for research administration, and at Homewood.



Susan Zipkin became the Associate Director of Research Operations at Boston Medical Center in December 2013. Susan previously had been working as a consultant for Attain on a project for Boston Medical Center.

What I Found on Twitter



*By Dan Nordquist: follow me
@DanNordquist and follow @NCURA*

@sciencemagazine - Why don't proposals given better scores by the NIH lead to more important research outcomes? scim.ag/LBWSa3

@ENERGY - Review our report on @ENERGY's management of Scientific User Facilities: go.usa.gov/BRaQ

@ITWorksGrantMgt - How to manage grant money the right way.
<http://ow.ly/t2zyR>

@kanter - Data Informed vs. Data Driven: There's a difference, so worth the read. <http://shar.es/F0IAd>

@NIHgrants - K Awards: You Ask, We Answer: Page limits for Letters of Support for K (Research Career) awards. More... 1.usa.gov/1jbhFAf

@OIGatHHS - HHS OIG Podcast: The latest OIG Update podcast is on our website now. go.usa.gov/BDkx

@UberFacts - 2 million videos are added to YouTube every day.

I just started following: @researchimpact, @nytimescienceand, and @BudgetHawks, and I just discovered the #scienceWOW hash tag!

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- ◆ OMB Circulars
(including the Omni Circular)
- ◆ Export Controls
- ◆ Privacy
- ◆ Environmental Protection
- ◆ Human and Animal Subjects
- ◆ Safety and Security
- ◆ Employee Directives
- ◆ Fraud and Abuse
- ◆ Data and Dissemination

WRITTEN BY: Jane Youngers, Assistant Vice President for Research Administration, University of Texas Health Science Center at San Antonio and Pamela Webb, Associate Vice President for Research Administration, University of Minnesota

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NCURA CALENDAR of EVENTS

NATIONAL CONFERENCES

2014 FINANCIAL RESEARCH ADMINISTRATION (FRA) CONFERENCE
San Francisco, CAMarch 15-17, 2014

2014 PRE-AWARD RESEARCH ADMINISTRATION (PRA) CONFERENCE
San Francisco, CAMarch 18-20, 2014

INTERNATIONAL NETWORK OF RESEARCH MANAGEMENT
SOCIETIES (INORMS) CONGRESS
Washington Hilton Hotel, Washington, DCApril 10-13, 2014

56TH ANNUAL MEETING
Washington Hilton Hotel, Washington, DCAugust 10-13, 2014

REGIONAL MEETINGS

REGION I: NEW ENGLANDApril 27-30, 2014
Mystic, CT

REGION II/III: MID-ATLANTIC/SOUTHEASTERNMay 4-7, 2014
St Pete Beach, FL

REGION IV: MID-AMERICAApril 27-30, 2014
Indianapolis, IN

REGION V: SOUTHWESTERNMay 4-7, 2014
Austin, TX

REGION VI/VII: WESTERN/ROCKY MOUNTAINOctober 5-8, 2014
Reno, NV

REGION VIII: INTERNATIONALApril 9, 2014
Washington, DC

NATIONAL TRAVELING WORKSHOPS

FINANCIAL RESEARCH ADMINISTRATION WORKSHOP
Providence, RI.....June 23-25, 2014

LEVEL I: FUNDAMENTALS OF SPONSORED PROJECT
ADMINISTRATION WORKSHOP
Providence, RI.....June 23-25, 2014

LEVEL II: SPONSORED PROJECTS ADMINISTRATION WORKSHOP –
CRITICAL ISSUES IN RESEARCH ADMINISTRATION
Providence, RI.....June 23-25, 2014

ONLINE TUTORIALS

A Primer on Clinical Trials – 8 week program
A Primer on Federal Contracting – 8 week program
A Primer on Intellectual Property in Research Agreements –
8 week program
A Primer on Subawards – 8 week program

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2014 enroll-
ment periods

DEADLINES FOR MAY/JUNE 2014

Submission of Articles to Contributing Editors.....March 28, 2014
Submission of Articles to Co-editors.....April 4, 2014
Submission of AdvertisementsApril 4, 2014

Additional information for authors can be found at: <http://www.ncura.edu/PublicationsStore/NCURAMagazine/Submissions.aspx>

For further details and updates visit our events calendar at www.ncura.edu