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Financial Research
Administration (FRA)
Conference Huge Success

Planning Begins for
FRA II Conference

Planning Continues for NCURA Neighborhoods

by Nancy Wilkinson

At its most recent meeting, the NCURA Board of Directors continued to focus on this year's theme of "Strengthening Community." Previously, the Board had conceptually approved the exploration of NCURA Neighborhoods in support of this theme. The NCURA Executive Committee (Officers) had worked closely with the National Staff to develop a prototype that was unveiled at the Financial Research Administration (FRA) Conference in May.

The Board reviewed the FRA prototype neighborhood with a view to identifying those parameters essential to construction of all neighborhoods. Specifically, the Board wanted to provide the framework and guidance necessary to the initial groups that will launch each neighborhood. Consensus was reached on aspects such as: (1) a similar "look and feel" to each neighborhood web site so that members can navigate easily irrespective of the neighborhood they are exploring; (2) information sharing as a core component; and (3) networking opportunities as a vital element for the neighbors.

(Continued on page 8)

● NCURA Election- see page 5

RICHARD SELIGMAN to Receive the Outstanding Achievement in Research Administration Award

By Ardis M. Savory, Christina Hansen and Cheryl-Lee Howard



Richard Seligman

NCURA makes only one achievement award each year—the award for Outstanding Achievement in Research Administration. It is obviously a special award, and anyone nominated for the award has undoubtedly made many very important contributions to the field of Research Administration.

(continued on page 8)

42nd Annual Meeting Update

by JoAnn Moretti, Co-Chair, NCURA Annual Meeting Program Committee

By the time you read this article the Preliminary Program and, perhaps the Final Program, will have been released to the NCURA membership. Thanks to the Program Committee and your crack National office staff the Program has come to life. I liken the experience to a theatre production. You have all of these pieces and you wonder if it will ever come together and then suddenly it does and you are filled with inspiration and awe. And this is what the Committee hopes each of you will find at the 42nd Annual Meeting, November 6 – 8.

Besides inspiration and awe, the Program Committee has been hard at work on the nuts and bolts of the Program. In the Program you will find over seventy concurrent sessions, twenty-four workshops, as well as discussion groups. In addition to sessions that are innovative and address emerging issues, the Program will also offer for the first time this year, an orientation for the newer member and sessions provided by the National Nominating and Leadership Development Committee on personal and professional development.

We haven't forgotten to include opportunities for networking and entertainment. The Banquet on Sunday will feature Tony nominated entertainer Sally Mayes. On Monday evening a special dessert reception is offered for 1st time attendees. And we will be asking members to mix it up at the Tuesday night NCURA party (translation, instead of the usual regional competitions we will be asking you to fraternize across the borders).

If you have not had a chance to review and update your member profile be sure to complete it before the Annual Meeting to be in the drawing for Door Prizes. The Member Profile Task Force and the Select Committee on Communication and Member Services will be working closely in coordinating this effort. You will find the Member Profile in the Especially for Members Section of the NCURA Web at <http://www.ncura.edu>.

Workshop 2000 is a perfect blend of our hallmark offerings, hot topics from this year's video & special conferences, the much anticipated return to NIH and NSF, and sessions geared towards your personal, professional development.

(Continued on page 8)

2000-2001 Video
Conference Subscription
Series Announced—
Live or new Tape Option
Now Available. See page
16 for details.

Most members are aware that NCURA has undergone significant changes in governance over the past year - changes that literally have been years in the making. Yet many members remain uninformed or confused about the rationale behind the changes and how the new governance structure has been operating over the past several months. The following article, written by Mary Husemoller, Past President of NCURA, places the recent governance changes in historical context. Mary was president during a critical period leading up to the recently approved change in bylaws. The next issue of the NCURA newsletter will feature a follow-up article written by a NCURA's President-elect Regina White and Treasurer John Case, who transcend both the "old" NCURA Executive Committee and the current Board of Directors. They will explain and illustrate differences between the operations of the old and new NCURA.

NCURA: IF IT WASN'T BROKE, WHY'D WE FIX IT?

By Mary Husemoller

As you know, a series of fundamental changes have been made in NCURA's governance structure and operations. These changes have recently been adopted in a series of actions, including bylaws changes. The intent of the changes was to streamline decision making while at the same time to include more members in the process.

In order to understand why the changes were made, it is important to understand where we were, where we needed to go, and how we got there.

Where We Were:

There was a new generation of potential leaders who were frustrated with the bureaucracy of NCURA. It took too long to work their way through the unarticulated steps to leadership, sometimes 20 years. This group was also frustrated by the slow pace at which ideas moved through the organization, sometimes disappearing because things didn't get passed on from one regime to the next. Even when they did reach a position where they might be heard, such as being appointed to a committee, frustration still occurred because actions started in one administration were not continued by the next and their time was viewed as wasted.

Because of these frustrations, not only was the new generation "turned off", but many long-time members refused or were reluctant to volunteer because they, too, viewed it as a waste of time. The most common complaint was that a person would spend 2 years on a committee and feel like he or she had accomplished nothing.

Duplicative work by the officers, the committees and the Executive Committee was another waste of time and frustration to those involved. One example of such a situation was the development of our videoconferencing workshops. That idea first came up at least 3 years before the first videoconference was ever held. The committee, under several chairs, discussed it. It was brought to the Executive Committee where it was discussed again, but action was never taken because there wasn't enough expertise to make an informed decision. Finally, after many years of discussing this idea, the officers alone made the decision to go forward. This delay was no one's fault; it was the way the system worked. It is also an example of the power the officers possessed, which was occasionally a source of contention between the Executive Committee and the officers, and not the model of the inclusive organization that NCURA professed to be.

In addition to problems with the decision making process, there was discontent with the power of the president who appointed all of the committee chairs and committee members. The result was the perception that all of the "work" of the organization was done by presidential appointees and that the Regional Representatives had little or no power to influence any outcomes.

The same situation existed within the Executive Committee. We were a group of well-meaning, hard-working individuals who were confused about our roles. We spent significant time on the details of running the organization and not enough time on setting the direction of the organization; as we learned from the consultant that helped us through this process, we were rowing, not steering.

Where We Needed To Go:

In order to address the issues we needed several changes including finding a way to develop leaders by involving more people, developing a way to get work done more quickly by involving people with appropriate expertise, focusing on outcomes, streamlining Executive Committee meetings focusing on steering, defining the role of the Regional Representatives and addressing their concerns, and by establishing a more equitable balance of power.

How We Got There:

The first thing that was determined was that we were all too close to the issues to deal with them by ourselves and that the first priority ought to be training the Executive Committee. It was thought that if members of the Executive Committee more clearly understood their roles, the rest would follow. That turned out to be true. We hired an experienced consultant, Mr. Bud Crouch, who took the Executive Committee through several days of intensive training that gave us clear direction and defined our role. Through that process it became clear that we desperately needed a strategic plan to help guide us through the next several years. So, again with the help of Mr. Crouch, we developed a strategic plan. The next, and most difficult step was examining our structure and the governance process. Mr. Crouch, who has years of experience with non-profit associations such as NCURA, was able to break down all of the different areas we needed to address and was helpful in showing us examples of how and why other organizations function, or don't function, as the case may be, so that we could make good decisions about how we thought NCURA should be structured.

The formal part of this process took over two years but the groundwork began many years ago with the vision of several past presidents and Executive Committee members. Over the years, they recognized the need to change and began discussing a strategic plan. Without them and many other NCURA visionaries who were all willing to make hard decisions and courageously took some risks, this restructuring would never have come to pass.

Mary Husemoller is the Director, Sponsored Projects Administration at the University of Nevada, Reno and is a Past President of NCURA.

The Office of Management and Budget (OMB) has issued its third annual report on the benefits and costs of federal regulation. This document could be an extremely valuable source of information on a part of government regulation— that Americans know very little about, but which rivals the size of federal domestic discretionary spending. However, the document fails somewhat to do this, because it is built on a questionable premise—the government’s own regulatory analyses.

One could conclude from a close reading of the report that regulation has been an unabashed economic success. The Environmental Protection Agency, for example, claims that annual benefits of its past air regulation alone are over a trillion dollars. And for environmental, health and safety regulations issued from 1995 to 1999, OMB could not find an agency for which the benefits of regulation fall short of the costs. If true, that would be great news because it suggests that new regulation could be an engine of economic growth!

Unfortunately, the OMB report has many weaknesses. Most academic work suggests that there have been gains to past regulation in the area of environment, health and safety, but that we have reached the point of diminishing returns in many areas. Even OMB cites the many inherent problems in accurately measuring costs and benefits of regulations.

So how did the OMB reach its findings? Mostly by using government studies done by the agencies themselves. This begs the obvious Question: What would you expect agencies to say about their own regulatory programs? Answer: Generally good things. Conclusion: The source of the numbers could be biased toward the agency’s point of view.

But there is a deeper problem with using the agency analyses on which OMB relies so heavily. These analyses are supposed to quantify the costs and benefits of a preferred regulatory option along with appropriate alternatives. Presidents Reagan, Bush and Clinton all put executive orders in place that require agencies to do economic analyses that help assure that the public is getting its money’s worth from mandated regulatory expenditures. However none of these presidents put in place procedures to assure that the agencies would follow their executive orders. OMB is supposed to police the process, but has never been given the resources to do the job right.

A new report by the AEI-Brookings Joint Center for Regulatory Studies drives the point home. The authors assembled data from 48 government analyses of major health, safety, and environmental regulations from 1996 through 1999 to assess their quality - the same basic analyses that OMB relies on to generate its report.

The AEI-Brookings team found that economic analyses prepared by regulatory agencies typically do not provide enough information to make decisions that will maximize the efficiency or effectiveness of a rule. Agencies quantified net benefits for only 29 percent of the rules. Agencies failed to discuss alternatives in 27 percent of the rules, and quantified costs and benefits of alternatives in only 31 percent of the rules. The AEI-Brookings report concludes that this is strong evidence that the agencies do not take seriously the requirement to do good economic analyses of major federal regulations.

So what should be done? To begin with, agencies could be required by Congress and the President to produce better analyses. This could be accomplished by not allowing major regulations to move forward before a competent economic analysis of the regulation has been provided by the agency, where “competent” could be determined by the OMB professional staff. Unfortunately, this may be difficult politically, as some might suspect it is an attempt to put a halt to all new regulation, when in fact, it’s an attempt to hold regulators more accountable.

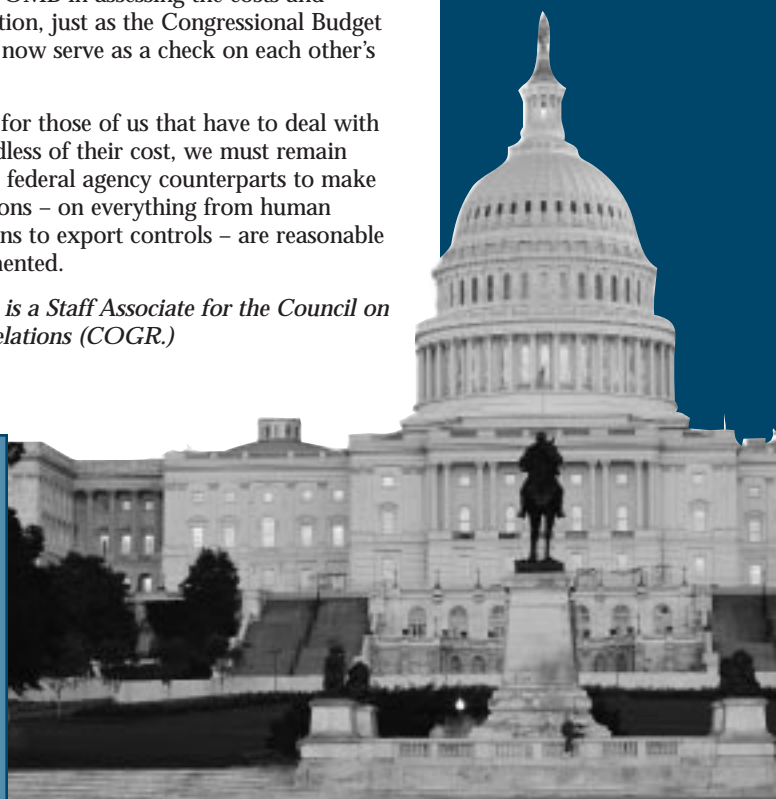
Another possibility is to have the General Accounting Office (GAO) assess the agency processes for measuring costs-benefits of regulations and make recommendations for improvement. In fact, GAO has been critical in the past of agency and OMB methodologies, but it has also been unable to focus adequate resources on this issue. For example, a few years ago GAO was asked by Congress to assess the financial impact of regulations on the conduct of research at colleges and universities. After several months of discussions with university representatives in Washington and at a few selected campuses, GAO concluded it could not provide an accurate estimate of the financial impacts of regulations. According to GAO there was little good data available to make an accurate assessment, and even with good data the complexities involved in teasing out the costs of regulations would be a challenging task. The final GAO report was little more than a summary of the many regulations that apply to conducting federally funded research – a summary prepared by the academic community.

It has been suggested that a more politically palatable alternative would be to create an agency outside of the Executive branch that assesses the impact of regulations and provides information to Congress and the public. A Congressional Office of Regulatory Analysis, which has been proposed, could work quite well. It has been estimated to cost \$10 million annually, but could easily save many times that number if it were able to instruct Congress on how the agencies could improve their analyses and make their proposed regulations more effective. It would also provide some healthy competition with OMB in assessing the costs and benefits of regulation, just as the Congressional Budget Office and OMB now serve as a check on each other’s budget forecasts.

In the meantime, for those of us that have to deal with regulations regardless of their cost, we must remain engaged with our federal agency counterparts to make sure new regulations – on everything from human subjects protections to export controls – are reasonable and fairly implemented.

Tony DeCrappeo is a Staff Associate for the Council on Governmental Relations (COGR.)

...Even OMB cites the many inherent problems in accurately measuring costs and benefits of regulations.



Rapid Change Continues in Human Subjects Protection

by Robert P. Louman

There has been no such thing as a "slow news day" in the world of human subject protection during the last few months. Some recent events have been widely anticipated and bring to closure changes already underway. Other announcements and proposals have taken research administrators by surprise, leaving us wondering how we will cope with the changes we face and how we will pay for the new staff efforts likely to be required.

Office of Human Research Protections. At the top of the list of actions widely expected was the June 6 announcement by David Satcher, Assistant Secretary for Health and Surgeon General, of the creation of a new Office for Human Research Protections (OHRP). OHRP officially opened for business on June 19, 2000 and is organizationally located within the Office of the Assistant Secretary for Health. OHRP replaces the old Office for Protection from Research Risks (OPRR), which has ceased to exist. Protection of laboratory animals, also formerly under the authority of OPRR, now resides within the National Institutes of Health within a new Office of Laboratory Animal Welfare. According to Dr. Satcher, "[OHRP] will have increased resources and broader responsibility, and we will look to it for leadership in articulating our goals for protecting individuals who volunteer to participate in research."

New Director of OHRP Appointed. Dr. Greg Koski, director of human research affairs at Partners HealthCare System, Inc. in Boston and Associate Professor of Anesthesia at Harvard Medical School, was appointed Director of the new Office of Human Research Protections, effective September 1, 2000. Dr. Koski brings an extensive background in biomedical research and human subject protection to his new position and a sincere desire "to use science to

help people" (quotations taken from the website www.seminoletec.com/CVs_2/Koski.htm). Dr. Koski's personal research interests are in hormone and drug action, regulation of the cardiovascular system, and the effects of anesthetics on functional membrane proteins. With that research background, he reported that his career path "changed irrevocably when at my first IRB meeting, a reviewer described a study proposed by one of my own colleagues as 'something that one might get away with in a Nazi concentration camp, but not at the [Massachusetts General Hospital].'" This brought Koski to realize "the need for better training of clinical investigators, more and better mentors, greater awareness of and sensitivity to ethical and regulatory matters." As a result, "this new pursuit became my 'calling.'" At a presentation to the Federal Demonstration Partnership in Washington in early June, just before the formal announcement of his new appointment to OHRP, Koski stressed his belief in the regulatory process. He made clear, however, that his commitment was to the protection of human subjects, and that regulatory integrity was only a means to an end, not an end in itself.

Creation of National Human Research Protections Advisory Committee (NHRPAC). Simultaneous with the creation of OHRP, Dr. Satcher announced that the Department of Health and Human Services (DHHS) is chartering a new advisory committee on human research protections. According to a June 19 Federal Register announcement, the new committee "will provide expert advice and counsel to the Secretary of DHHS, Assistant Secretary for Health (ASH), the Director, Office for Human Research Protection (OHRP), and other departmental officials on a broad range of issues and topics pertaining to or associated with the protection of human research subjects". The announcement also solicited nominations for the advisory committee. NHRPAC will serve as the Department's principal advisory body on matters pertaining to human subjects protection. Members will be selected from among individuals possessing demonstrated experience and expertise in any of the several areas pertinent to human subjects protection." The advisory committee will have 12 members. Nominations must be submitted no later than August 18. Given the purely biomedical background of Dr. Koski and recent DHHS focus on clinical

NEW PHS POLICY ON INSTRUCTION IN THE RESPONSIBLE CONDUCT OF RESEARCH

by Chris B. Pascal

The Office of Research Integrity is working with representatives of the Public Health Service research agencies to develop a new policy on instruction in the responsible conduct of research for extramural institutions receiving PHS funds for research or research training. This policy will extend the existing NIH requirement for such education, which only applies to research trainees, to all persons conducting research with PHS support.

On October 22, 1999, HHS Secretary Donna E. Shalala announced a number of important changes in policy to improve the Department's research integrity efforts including a statement that "through ORI, the Department will require research institutions to provide training in the responsible conduct of research to all staff engaged in research or research training with PHS funds." This decision was based on the Department's commitment to ensure that all PHS supported researchers receive basic instruction in the key elements of responsible research and are familiar with basic regulatory requirements. The decision was also supported by prior recommendations of the Commission on Research Integrity which stated, in part, that HHS "require that each institution applying for

or receiving a grant, contract, or cooperative agreement under the Public Health Service Act for research or research training add to its existing misconduct-in-science assurance a third declaration, one certifying that the institution has an educational program on the responsible conduct of research. Through this mechanism, the current NIH research integrity education requirement, now limited to recipients of institutional training grants at NIH-funded institutions, would be augmented by an assurance applied to all individuals supported by PHS research funds." Commission Report, "Integrity and Misconduct in Research," p.18 (HHS 1995).

It is anticipated that a draft of the proposed PHS policy will be available for public comment in late July and the final policy will be announced on October 1, 2000. Institutions and individuals interested in commenting on the policy should check the ORI website at <http://ori.dhhs.gov> and click on "What's New." The policy is expected to be an extension of the existing NIH policy for research trainees and will cover all research staff, including principal investigators, co-investigators, post-docs, fellows, technicians, research nurses, students engaged in research or research training, and others involved in the conduct of the research. Furthermore, the policy will identify core elements of instruction to be included in each research institution's program of instruction, including the recommended core elements from the current NIH policy: conflict of interest, responsible authorship, policies of handling misconduct, policies regarding the use of human and animal subjects, and data management. (NIH Guide, Vol. 23, Number 23, June 17, 1994)

Two key principles from the current NIH policy are also expected to be carried over to the new policy. First, the institution, not PHS, will determine the exact content of the instruction to be conveyed to

research, one might hope this new advisory committee would also represent the interests of the overwhelming majority of colleges and universities that conduct human subject research, but do not have a medical school.

New Training Requirements for Human Subject Research Sponsored by NIH.* Beginning on October 1, 2000, the NIH will require education on the protection of human research participants for all investigators submitting NIH applications for grants or proposals for contracts or receiving new or non-competing awards for research involving human subjects. NIH has not specified the content of this required training. That is left to the discretion and judgment of each institution. However, the training must be documented in a letter signed by the Authorized Institutional Official who normally signs proposals. Publication of this requirement in the NIH Guide on June 5 has started research administrators and IRB officials scrambling all over the country. October 1 is a very short timeframe for completing large-scale training of faculty anywhere. At a large, research intensive university, there may be well over 1000 individuals in need of training. NIH has published a set of Questions and Answers on the education requirement that can be accessed online at grants.nih.gov/grants/policy/hs_educ_faq.htm.

Other New NIH Human Subject Policies. Also published on June 5 were two other NIH policies regarding human subjects. One requires the use of Data Safety Monitoring Boards in Phase I and Phase II clinical trials and will be of primary concern to institutions with medical schools. The other reminds IRBs to consider potential financial conflicts of interest investigators might have in the conduct of their research.

Pending Legislation. On top of everything else, legislation is pending that could have a dramatic impact on human subject protection in the future. H.R. 4605, introduced by Reps. Diana DeGette (D-Colo.), Henry Waxman (D-Calif.) and John Mica (R-Fla.), would extend federal protection to all research involving human subjects, whether funded by the federal government or not. Among other provisions, it would give the Secretary of DHHS authority to modify the common

the researchers and, secondly, the method of instruction (e.g., classroom, lab meetings, institution wide events, written materials, CD-ROM) and minimum hours of instruction will be the institution's decision. However, each institution may impose more detailed requirements in its own policy, and other components of HHS may require specific types of education or specify content to meet their own needs. In this regard, the ORI-developed policy is expected to provide a basic framework for education in the responsible conduct of research and would complement more detailed requirements that may be imposed for human subjects protection or other areas. ORI intends to work closely with other HHS components, such as the newly renamed Office for Human Research Protections, NIH, or FDA, to ensure that the PHS policy is consistent with any other education requirements announced by those components.

*Chris Pascal is the Acting Director, Office of Research Integrity**

** The opinions expressed herein are those of the author and do not necessarily represent the views of the Office of Research Integrity, the U.S. Department of Health and Human Services, or any other Federal agency.*

federal rule under which our IRBs operate. Currently, the federal rule can only be modified through agreement of all the nearly 20 federal agencies that subscribe to the rule—a nearly impossible task. It would also require IRBs to be accredited by “a nonprofit private entity approved by the Secretary [of DHHS]” within two years of enactment of the bill. While no accreditation programs are yet accepting applications, that should change within about six months. It would allow colleges and universities to recover the costs of human subject compliance as a direct cost in grants and contracts. Judging whether the DeGette bill will pass is difficult. It has been introduced very late in the Congressional session and has only garnered 12 co-sponsors at this writing. However, with each new headline indicating serious violations of human subject regulations at yet another college or university, momentum for the bill may build. Even if it does not pass in the 106th Congress, we can probably expect a similar bill to be introduced next year at the start of the 107th Congress. The DeGette bill does not include monetary penalties for violations of human subject regulations. The Secretary of DHHS has promised, however, to request legislation that would allow individual investigators to be fined up to \$250,000 and institutions to be fined up to \$1,000,000 for human subject violations. Potential fines of that magnitude would certainly draw a lot of attention to issues of human subject protection.

* See also the related article by Chris Pascal, Acting Director of the Office of Research Integrity, published below.

Robert P. Lowman is the Associate Vice Provost for Research Director of Research Services at The University of North Carolina at Chapel Hill.

Slate Set for 2000 Election: Voting to be Electronic for Second Time

This year, members of NCURA have the opportunity to select leaders for three important positions: Vice President/President-Elect and two of the four At-Large Members of the Board of Directors. The Nominating and Leadership Development Committee is pleased to announce that candidates for the position of Vice President/President-Elect are: F. John Case of the University of North Carolina at Chapel Hill and Christina Hansen of the University of California-Irvine. Candidates for the two At-Large Board Members are: Eric M. Cottingham, Case Western Reserve University; Joyce B. Freedman, University of California, Berkeley; Peggy S. Lowry, Oregon State University; and Dorothy A. Spurlock, Eastern Michigan University.

You may review the biographical sketches and brief objectives statements for the Vice President/President-Elect candidates on pages 14 and 15. You will also find brief statements on why each of the four At-Large candidates would like to serve in the Especially for Members Section of the NCURA Web Site @ www.ncura.edu.

Actual voting will be done for the second time via our electronic balloting process. There was a significant increase in percentage of members participating in last January's inaugural use of NCURA's e-voting process. In other words, our members also cast their votes in favor of e-voting! Don't worry if you don't remember how to use the e-voting system. You will receive e-voting instructions via email on or about August 15. That message will include all the information you will need to participate in the election. If you are one of the few members who cannot receive email, you will be contacted around that same time with instructions on how you can participate.

Your 2000 Nominating and Leadership Development Committee:
Cheryl-Lee Howard, Chair
Region I, Steven Bernstein
Region II, Garrett R. Sanders
Region III, S. Kent Walker
Region IV, Cordell M. Overby
Region V, Gregory L. Foxworth
Region VI, Linda W. Patton
Region VII, Judy L. Fredenberg



REGION III *Southeastern*

Region III's joint spring meeting with the Society of Research Administrators (SRA) Southern Section in Asheville, North Carolina this past April had 203 in attendance. The program committee delivered an outstanding program which included four half-day workshops and twenty-one concurrent sessions. We were delighted to have Nancy L. Wilkinson (Emory University), President, NCURA (one of Region III's own) and Victoria Molfese, President, SRA join us at the meeting.

New regional officers were announced during the business meeting. Congratulations go to our new electees: Philip Myers (Western Kentucky University), Chair-Elect and Stephen Williams (Wake Forest University), Secretary-Treasurer. Due to recent changes in the terms of office, Stephen will assume his new responsibilities January 1, 2001.

Other business included the adoption of revisions to the Region III Bylaws. Carl Frantz (University of Southwestern Louisiana), Chair, Ad-hoc Bylaws Revision Committee, led a discussion on the proposed revisions that primarily provide for changes needed in order to be consistent with the recent re-organization of NCURA National and provide for use of an electronic voting process.

The recipient of the 2000 spring meeting travel award was Scott Tracy, Associate Director for the Division of Grants and Contracts at Eastern Kentucky University.

Region III is pleased to welcome NCURA National Treasurer, John Case to our ranks. John's induction to Region III is a result of his recent move from the Desert Research Institute (Region VI) to the University of North Carolina at Chapel Hill.

New regional activities are underway as committee chairs are being named and assuming responsibilities in the region. Anyone interested in becoming involved with committee activities should contact the committee chairs to volunteer their services.

A listing of committees and chairs can be found on the Region III website: www.orga.cofc.edu/ncura3/.

Dawn B. Stein is the Assistant Director in the Division of Sponsored Research and Training at the University of North Florida

REGION V *Southwestern*

Region V has elected two new officers: Dr. Sondra Ferstl is Vice Chair and Lisa Thompson is Secretary/Treasurer. Sondra Ferstl is Associate Dean for Research at Texas Woman's University (TWU), where she coordinates pre-award services to faculty for sponsored projects at the Denton campus as well as at TWU's centers in Dallas and Houston. Lisa Thompson is Associate Director of Research and Sponsored Programs at The University of Tulsa, where she is responsible for day-to-day activities of the department. Congratulations to both Sondra and Lisa!

Sondra Ferstl is busy planning Region V's Spring 2001 meeting which will be held in Oklahoma City, Oklahoma. She is close to signing a hotel contract and setting the meeting dates.

Region V is excited about our joint meeting in Spring 2002 with Region III. This meeting will be held in San Antonio, Texas. Olivia Pope, chair of Region III, and I visited San Antonio earlier this summer and hope to have a hotel contract in place very shortly.

Region V is always looking for more volunteers to assist with regional meetings! If you are not already an active member of NCURA—this is your chance! Volunteer opportunities include: presenting or moderating a session, participating on the

Scientific Integrity: An Introductory Text With Cases

*Reviewed by Tim Atkinson
By Francis L. Macrina*

Washington, D.C., American Society for Microbiology Press, January 2000. 350 Pages. \$39.95

The research climate is not always stable, and some of us are left to face instabilities for the first time without any knowledge of how to manage them. How did you handle your first case of scientific fraud? Can you always apply the human subject protection rules to every situation? Did

you ever hear the question, "What is IACUC?" or wondered if any of your faculty members care about the meaning behind the Conflict of Interest Form?

Francis L. Macrina's "Scientific Integrity" introduces us to the philosophies and rules surrounding most of the major Research Administration compliance issues. He provides detailed chapters on human subjects issues, animal use, scientific misconduct, intellectual property, and conflicts of interest. Since the text was primarily aimed at graduate students, it also includes chapters on mentoring, authorship, and scientific note taking. Still, every chapter carries the same central message: a true scientist should follow the rules and ask questions when the rules are nebulous.

Macrina explains what it is like to be a scientist struggling to compete with peers, and why scientists sometimes appear to break commonly accepted ethical rules of scientific research or, on occasion, are tempted to break the rules deliberately. Research Administrators might take off their research administration hats to wear Macrina's scientist hat and see things in a different light. He does not excuse ill behavior, but concludes that the science world unfortunately has a few inherently disreputable people in it and, given the pressures to succeed, right is sometimes subsumed by wrong.

Macrina also addresses the judges, the people tasked with deciding if a person has really broken the rules, and makes clear the need for objective oversight and quiet investigation. Macrina's discourse leads to better understanding and better management of potential real life cases.

program committee, assisting with registration, planning meals, organizing audio visual equipment and usage, designing the program, brochure or website, and planning dinner groups and other logistics for the meeting. Please contact Sondra Ferstl or me if you would like to volunteer. We need your help!

Susan Krause, Chair, Region V, Director, Program Development, Texas Children's Cancer Center and Hematology Service/Baylor College of Medicine

REGION VI Western

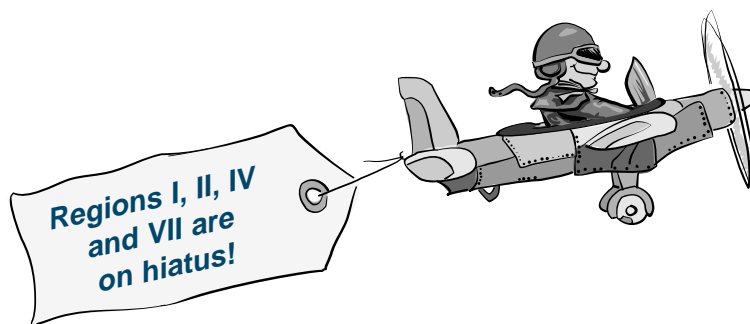
Greetings Everyone, This is my first column as regional chair and I would like to thank Carol Zuiches for all of her hard work as the past regional chair. Also I would like to acknowledge some members of Region VI for their "behind the scene" contributions. Thanks to Neil Maxwell, UC Berkeley and Dan Nordquist, Washington State University for their help in maintaining the Region VI listserv and the Region VI homepage. I would also like to thank Denise Faerber, WSU, for volunteering to help Dan post the job openings to the listserv.

The joint Region VI/VII spring meeting was a big success and the city of Seattle had terrific weather for us. The sessions were well attended and the facilities were quite nice. I would also like to thank Don Allen for helping out with this year's golf tournament. The course was beautiful and everyone had a wonderful time. Next year's spring meeting will be held in Santa Fe, New Mexico and details of that meeting will be available at the annual meeting in Washington, DC. As more details become clear I will send out notices to the listserv to keep you all up to date on what's happening. Region VI is responsible for the program for the spring meeting and if you have any suggestions on the program please feel free to contact me. I have had a few volunteers for the program committee and we will meet in Washington to come up with concurrent sessions and workshops. My hope is to have a brochure in the mail to members by the middle of February.

The annual meeting will be held November 6 - 8 this year with workshops on the 5th and the 8th. In addition, site visits to NSF and NIH will be on Thursday, November 9th. By the time you read this the preliminary program should be available to you on the NCURA home page. As in the past Region VI will be giving out two travel awards to the annual meeting to help members who have not had an opportunity to attend this meeting. Please think about nominations for this award and forward them to the chair of the Travel Awards Committee.

Finally I would like to welcome Kim Moreland to Region VI. Kim is the new Director of Grants and Contracts for the Fred Hutchinson Cancer Research Center in Seattle. She has moved to the West Coast from the University of Kansas and is a past-president of NCURA.

Hal Gollos serves as Region VI Chair and Director, Research Development, Pacific Graduate School



The chapter "Ethics and the Scientist" provides an excellent introduction to basic ethics. People familiar with Kant might find this chapter superfluous and can move on to other chapters. Even people unfamiliar with Kant might find this chapter uninspiring, but if the terms "utilitarianism" and "deontology" have little meaning, it would be a good idea to spend some time studying this chapter before reading the rest of the book.

Veteran Research Administrators might find themselves easily inserting comments where Dr. Macrina should have inserted them if his audience had been Research Administrators, but the intent is not lost. Anyone, with both good and inherently bad traits, would gain a heightened sense of integrity in their work by reading this book. The instruction may not make the disreputable among us good, but it will

surely make fundamentally good individuals better. Just think of what that can do for the Research Administrator.

Macrina also made sure this book transferred philosophy to practice by including a substantial number of useful case studies at the end of most chapters. The next time you hold a meeting for your faculty to teach them about Research Administration issues, you could try out some of the cases on them. For instance, how should an IACUC member respond if the IACUC suddenly disapproves an animal protocol that it has always approved, while a PI has stored up years of data using this same procedure? What if a graduate student gets recruited to work at a private company because of the techniques she learned in the PI's lab? These are some of the challenges presented. For people unfamiliar with laboratory science and

procedures, however, some of the case studies may be hard to understand.

If you can, convince the Dean to buy copies of this book to pass out to faculty and all your compliance committees, and make sure the Dean keeps a copy for herself, even if it just fills that space on the bookshelf just above her head.

Tim Atkinson is Director of the Research Support Center at Arkansas Children's Hospital Research Institute.



...from the cover

RICHARD SELIGMAN to Receive the Outstanding Achievement in Research Administration Award *(Continued from page 1)*

Therefore, to actually receive the award, one must be able to stand out in a really incredible group of individuals. This year's recipient, Dr. Richard Seligman, Director, Office of Sponsored Research, California Institute of Technology, is a superb example of what this award is all about.

Dick has had a significant impact on the professional lives of hundreds of research administrators, and on the vital underlying partnership between the federal government and research institutions. His ability to build bridges, develop new ideas and expand the knowledge of many players with differing agendas were key factors in his selection. He embodies all of those skills needed to be an effective and respected research administrator. Not only is he an outstanding manager, a fount of knowledge, a mentor, leader and teacher of research administration, he is also a statesman for our profession. A statesman many of us rely upon for advice, good judgment, collegial support and the ability to help us find humor and friendship, even in the midst of debates over difficult issues.

During the 25 years Dick has been a member of NCURA, he has never ceased to give generously of his time and talents. He has been our National President and our Newsletter Editor. He has chaired committees, written articles, conducted workshops, served on panels, and was in the vanguard of those who stepped forward to participate in the first series of live satellite broadcasts. Dick's keen

vision of the future led to NCURA's involvement in Electronic Research Administration long before ERA was on our list of oft-used acronyms. His influence has been felt in other organizations key to our profession such as COGR, the Federal Demonstration Partnership (FDP) and the NIH Research Administration Productivity Team (RAPT). In his role as communicator, Dick has always had a knack for explaining to our federal partners the unique values and attributes of the university community. His wisdom and counsel are frequently sought by major federal funding agencies. At the same time he has been doing all of this, Dick has also clearly demonstrated a record of accomplishments and a reputation as an exemplary administrator at his home institution.

Finally—and maybe most important of all—Dick has used his knowledge and extraordinary interpersonal skills to nurture the next generation of research administrators, giving us a strong legacy that will continue to grow and to have a ripple effect for years to come.

Ardis Savory is a Past President of NCURA, serves as Associate Vice Provost Sponsored Programs and Research at the University of South Carolina, and was the 1999 recipient of the Outstanding Achievement in Research Administration Award. Christina Hansen serves as the Assistant Vice Chancellor, Office of Research Administration at University of California-Irvine and Cheryl-Lee Howard is a Past President of NCURA, Chair of the Nominating and Leadership Development Committee, and serves as the Assistant Dean for Research Administration, Homewood Division, at the Johns Hopkins University.

Planning Continues for NCURA Neighborhoods *(Continued from page 1)*

In order to move the "NCURA Neighborhoods" from concept to reality, the Board selected three specific neighborhoods to launch within the months ahead. Inaugural neighborhoods selected include (1) pre-award, (2) financial research administration (FRA), and (3) electronic research administration (ERA). These particular neighborhoods were selected to focus development on traditional NCURA strengths, as well as targeted areas of strategic growth. The Board also brainstormed about future NCURA Neighborhoods that will be considered for construction.

Final planning and roll out of the selected neighborhoods will be under the direction of a Neighborhood Advisory Board (NAB). The Board selected Priscilla Pope, University of South Florida as the lead NAB member

for the Pre-Award Neighborhood; Brian Farmer, University of Idaho for the Financial Research Administration (FRA) Neighborhood; and Thomas Coggins, University of South Carolina for the Electronic Research Administration (ERA) Neighborhood. Each of these members will select other NCURA members to assist in this important endeavor. Of course, behind the scenes making all of the ideas become reality will be the technical talents of George Breeden from our national office.

As we prepare to make the NCURA Neighborhoods ready for you to visit, let me invite you (if you haven't already done so) to complete your NCURA Member Profile. In doing so, you will ensure easy access to the neighborhood information that we envision will soon come your way.

Nancy Wilkinson serves as NCURA's President and Assistant Vice President for Research/Director, Sponsored Programs at Emory University.

42nd Annual Meeting Update

(Continued from page 1)

And as you are checking out the 42nd Annual Meeting, wouldn't it be nice to be able to look at the Conference Offerings in a customized way?

Let's say you want to see NCURA's Recipient of the Outstanding Achievement in Research Administration Award, Richard Seligman. If he is on a panel, you know you don't want to miss it. Or if the Discussion Group forum is the best learning environment for you, wouldn't it be nice to see those offerings all together instead of having to scan each time slot?

You can! Log into the NCURA Conference Web Planner at <http://www.ncura.edu/conferences>.

Choose "More Information" for the 42nd Annual Meeting and sort the sessions by time, topical track, or speaker...whichever view meets your needs.

We have a wonderful program and can't wait to see you in Washington. If you want to know how long that is from now, check out the Region IV Website at <http://www.udmercy.edu/ncura4/> and see the special NCURA countdown designed by their wizard of a Webmaster, Brad Fitch!

JoAnn Moretti serves as Co-Chair of the 42nd Annual Meeting and Director, Sponsored Programs Administration at Harvard University.

NEWS OF NASA

By Julie Norris

NASA has been a major supporter of university research for many years and, in response, the university community is a strong supporter of NASA's programs and its goals. The NASA web site (www.hq.nasa.gov) provides an excellent general overview of NASA activities and events. At the same time that the university community has been supportive of NASA's scientific activities, recent events involving NASA have brought additional focus to regulatory and administrative activities of the agency. Three of these initiatives will be spotlighted in this article.

The higher education community has been concerned for several years about the slow pace of NASA's issuance of guidance to implement the requirements of OMB Circular A-110. Recently, NASA published for comment (64 FR 50335, September 16, 1999) its proposed NASA Grant and Cooperative Agreement Handbook. This proposed handbook, which was designed to supersede the 1996 interim regulations NASA published, met with disappointment in the university community. The concern stemmed in part from conflicts between the proposed regulations and A-110, and between the regulations and the Bayh-Dole Act. In addition, some of the regulations did not support the principles expressed in the Presidential Review Directive.

It appears now that, based on comments received last fall, NASA is making significant and positive revisions to its Handbook. NASA has recently indicated that it plans to issue a revised handbook soon and that it expects to publish the changes in the Federal Register sometime in July. Although the details of the changes have not been made public, NASA has apparently responded favorably to the extensive comments from the community. For example, NASA will accept notifications of project extensions (as provided for in A-110) rather than requiring that requests for extension be submitted, as was included in the proposed September revision document. In addition, NASA has agreed to a clarification in their patent rights clause so that universities do not inadvertently lose their non-exclusive royalty free license rights. NASA also is considering formally authorizing retention of electronic copies of records rather than the original records. These are welcome changes and universities should watch the Federal Register and the NASA web page for the announcement of the handbook's issuance.

Another recent major initiative has been the effort toward greater cooperation between NASA and the nation's universities. To facilitate this, in February 2000 NASA Administrator Dan Goldin appointed Spence (Sam) Armstrong, Lieutenant General USAF (ret.) as his Senior Advisor to further NASA's partnership with universities, other government agencies, and industry. In his appointment, Administrator Goldin directed that General Armstrong "give first priority to partnerships and cooperation with universities." The challenge was to identify partnerships and cooperation that "presented the greatest win-win opportunities for everyone." More information about this appointment is available at a special web site, www.hq.nasa.gov/office/codea/codeac/WWW/. An initial sampling of thoughts and comments was completed in the spring and resulted in NASA's issuing an explanatory white paper highlighting six conceptual areas where enhanced cooperation could be explored. These areas were as follows:

- Foster increased dialogue and interaction between NASA, colleges and universities.
- Sponsor longer-term research efforts to give universities planning assurances.
- Promote interdisciplinary and cross-disciplinary research in universities.
- Improve the process—make working with NASA user friendly.

- Collaborate with other government research agencies and industry to leverage the taxpayer's dollars sent to universities.
- Leverage an improved NASA/University cooperation to provide a recruiting conduit.

Following the identification of these themes, NASA circulated a white paper soliciting ideas and suggestions for implementation. In response, the agency recently announced a NASA/University Fall Cyber-Conference for sometime in October 2000. This conference will be an opportunity for NASA to announce plans for enhancing NASA-University cooperation. A preliminary agenda has been developed and is available on the web site, and NASA will be announcing details of how individuals and institutions can participate.

On another front, NASA and the university community have recently been affected by a change relating to the International Traffic in Arms Regulations (ITAR). The current problem results from a change Congress made in how commercial space satellite technology is treated. In Public Law 105-261 responsibility for export licensing was moved from the Commerce Department to the State Department. Research activity which was once covered by the fundamental research exemption of the Commerce Department via the Export Administration Regulations (EARs), is now subject to the ITAR regulations of the State Department. As a result, scientific satellites and related technologies are now on the munitions list and export is tightly controlled. Of particular concern to universities is the fact that a non-citizen's participation in research and development of apparatus that is related to a satellite may be a "deemed export" requiring an export license.

Historically, the Commerce Department's regulations provided that university-based fundamental research, which is widely disseminated to the community, was excluded from export controls. Because of the exemption, foreign students and foreign faculty did not need export licenses to work on such research. Indeed, the 1985 National Security Decision Directive (NSDD) 189 defined fundamental research as "basic and applied research in science and engineering, the results of which are published and shared broadly within the scientific community as distinguished from proprietary research from industrial development, design, production, and product utilization, the results of which are ordinarily restricted for proprietary or national security reasons." The directive suggested classification, rather than export controls, as the appropriate vehicle for controlling federally funded research where national security was an issue. The specific problem with these regulations is in the combination of the NASA implementation (65 FR 6915, February 11, 2000) with that of the State Department (64 FR 13679, March 22, 1999). For NASA, the rule shifts the burden to contractors and is silent on the exception for scientific research. As a result, many universities have found their personnel hampered from collaborating with colleagues from foreign universities, or even from involving foreign faculty at American universities who developed initial software from participating in subsequent development of the same software.

Activities are proceeding on several fronts to deal with this problem, including possible congressional action. General Armstrong has committed NASA to collecting data from colleges and universities about the problems caused by the transfer of satellite technology from Commerce to State preparatory to a meeting with the State Department to resolve the issues. It is clear that both NASA and the university community recognize the problems. From the university perspective, options for resolution include (1) clarification that the fundamental research exemption in the ITAR is the same as in the EAR and (2) making explicit in the regulations that prime contractors who accept controls on access by foreign nationals should not flow down such requirements to university and laboratory subcontractors when the subcontract activity qualifies as fundamental research, as defined in NSDD 189.

Julie Norris is a Past President of NCURA and serves as the Director, Office of Sponsored Programs, at the Massachusetts Institute of Technology.



Standard Format for Submission of Facilities and Administrative (F&A) Rate Proposals

by Pat Fitzgerald

The Office of Management and Budget (OMB) has published a proposed revision to OMB Circular A-21 which would require a standard format for submitting facilities and administrative (F&A) rate proposals by educational institutions (see Federal Register of May 9, 2000, Volume 65, Number 90). OMB first introduced the concept of a standard format in September 1997 to "assist institutions in completing their F&A rate proposal more efficiently and help the Federal cognizant agency review each proposal on a more consistent basis."

From June to October of 1998 a working group consisting of representatives from the Federal cognizant agencies (ONR, HHS and OMB) and higher education associations (COGR, AAU, and NACUBO) met to review a prototype standard format developed by the government team. This initial proposal totaled twenty-six pages, including a comprehensive listing of documentation requirements and fifteen supporting schedules in prescribed formats. Deliberations between the government and university representatives produced a significantly scaled down version of the standard format package.

On August 12, 1999 the reworked standard format was published in the Federal Register along with a request for comment on the proposed requirements. OMB received 40 comments from Federal agencies, universities, and professional organizations. While most commenters agreed with the concept of a standard format, many of these expressed concern about specific data elements or sought clarification of the requirements. OMB was very responsive to this feedback and on May 9th published a revised version of the standard format that included several significant, and from the university perspective, positive changes and clarifications. Comments on this version of the standard format were due to OMB by June 8th.

Who is covered by the standard format and when does this coverage become effective?

The standard format submission is required from all educational institutions that prepare a "long form" F&A rate proposal and applies to all proposals submitted to a cognizant Federal agency on or after July 1, 2001. The requirement does not apply to educational institutions that use the simplified method for calculating F&A rates.

What is included in the standard format?

The term "standard format" is somewhat of a misnomer since most of the required data does not have to be provided in a specified, standard format. Furthermore, although this is a

"proposal" to be used in the negotiation of future F&A rate(s), virtually all of the information requested relate to historical data, not forecast data.

Part I. Summary Data Elements

Part I of the new documentation requirement includes two schedules (A and B) which require the submission of data in prescribed formats.

Schedule A includes background data for the institution (cognizant agency, fiscal year, FTE information, status of disclosure statement, etc.) and certain summary data for each of the F&A rates negotiated by the institution. The cost data requested in Schedule A focus primarily on facilities costs, in particular, the costs associated with new buildings placed into service within the last five years.

Schedule B is essentially a high level F&A rate schedule for each of the institution's negotiated rates. While much of the information in Schedule B is data that institutions should expect to provide as part of a base year F&A proposal, there is a requirement for data that many institutions would not have provided in the past. For example, Schedule B requires that the modified total direct cost (MTDC) base for each negotiated rate be subdivided into Federal awards paying the negotiated F&A rate, Research Training Awards, Other Awards (not based on negotiated rates), and Non-Federal sources. Institutions must also identify the amount of cost sharing that is included in each rate base. Although OMB relented on its original proposal to require schools to identify both "mandatory" and "voluntary" cost sharing, it remains adamant that total cost sharing be reported. Institutions are also required to provide the total assignable square feet (ASF) of space by major function and the percentage of ASF that is financed, a statistic that many institutions will not have previously calculated or provided to negotiators.

Part II. Rate Proposal Summary

Part II contains the standard documentation requirements that must accompany the F&A rate proposal. There are two sections to Part II: "General Information" and "Rate Proposal Summary by Major Function."

"General Information" includes audited financial statements, a reconciliation of the base year F&A data to the financial statements, explanations of significant variances and changes in cost accounting practices from the institution's last F&A proposal, narrative descriptions of F&A cost allocation methods, and various assurances and certifications.

The "Rate Proposal Summary" section includes supporting schedules detailing the composition of each of the F&A cost pools and the MTDC rate base(s), a reconciliation of each pool to the financial statements and the allocation methodology used to distribute each F&A cost pool to the major functions. In addition to this historical base year data, institutions will be asked to provide information related to F&A rate changes for future years. This data is important for institutions that are planning the construction of new research facilities or anticipate other significant changes that will materially impact the calculation of F&A rates.

What is not required in the standard format?

What isn't included in the May 2000 version of the standard format is nearly as important as what is included. OMB agreed to delete from the list of data requirements any information the institution previously provided in a submitted cost accounting standards disclosure statement (i.e. DS-2). OMB also agreed to delete virtually all of the prescribed supporting schedules included in the earliest version of the standard format proposal. Fortunately, OMB and the other cognizant agencies recognized

that requiring detailed data to be submitted in prescribed formats would cause virtually every institution to modify, or replace its F&A system and related processes to accommodate these new requirements. The cognizant agencies were also mindful of the fact that individual auditors or negotiators may not require all of the information included in the standard format proposal. Consequently, the May 2000 proposal includes a provision that allows the cognizant agency, on an institution-by-institution basis, to grant exceptions from all or portions of Part II of the standard format requirement.

What impact will the standard format have?

OMB's stated objectives in introducing the standard format were to 1) assist educational institutions in completing F&A proposals more efficiently, 2) help the cognizant agency review each proposal on a more consistent basis, and 3) facilitate the Federal government's effort to collect better information regarding F&A costs that could be useful in explaining variances in F&A rates. Will the proposal published in May achieve the government's objectives?

It seems unlikely that the new requirements will help institutions prepare their F&A proposals more efficiently. While much of the data included in the standard format would be routinely provided in an F&A proposal absent the standard format requirement, the fact remains that there is a significant amount of data that institutions may not have been required to submit in the past. Compiling this information could be time-consuming and may require changes to the institution's accounting system. For example, detailing the composition of the rate base according to Federal awards, non-Federal awards, research training grants, awards at less than the negotiated F&A rate, etc. may require institutions to add new attributes to the accounting records in order to classify awards into each of these categories. It is also possible that auditors and negotiators may increase the administrative burden by requiring institutions to submit all of the standard format data in addition to the data and reports it has customarily provided.

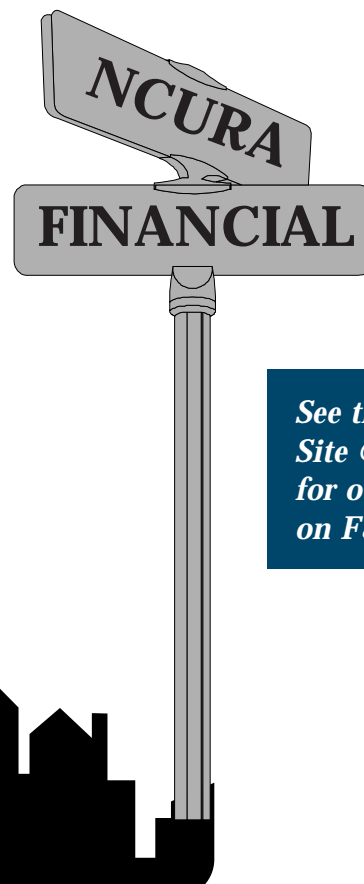
It is difficult to comprehend how the new requirements will help schools prepare a proposal more efficiently unless the standard format serves as an inducement for schools to migrate from the use of spreadsheets and manual calculations for the development of F&A proposals to an integrated database system. Where efficiencies may be achieved is in the electronic submission of F&A data and the elimination of paper copies of the submission and supporting documentation. In the May 8th announcement, OMB expressed its willingness to work with the Federal agencies to encourage the submission of the standard format data electronically.

Clearly, the standard format will help cognizant agencies in the review of F&A proposals. The standard format contains summary data, descriptions, explanations and comparative analyses that will enable auditors and negotiators to spend more time on data evaluation and less time on data gathering and data manipulation. While institutions will be required to provide more, and presumably more useful data to auditors and negotiators, it remains to be seen whether this will result in greater consistency in the review of F&A proposals and the establishment of rates across regions and cognizant agencies.

It appears obvious that the standard format will facilitate the Federal government's effort to collect better information regarding F&A costs. The summary rate schedule (Schedule B) will be a valuable tool in comparing rates and identifying variances from institution to institution and the detailed information in Part II may help to explain some of these variances. What is not so obvious is what the government will do with this data once it has it. Since the standard format will be submitted to the institution's cognizant agency, not OMB, there appears to be no central depository for this information. Once the data is available, and the Congress and government agencies know that it is available, it is reasonable to assume that there will be pressure to analyze the data. Who will be responsible for performing such analyses is unclear.

How an institution is affected by the new requirements depends on the institution's size, complexity, staffing and resources and the extent to which the F&A process is automated and integrated with the applicable financial systems. OMB has conceded that the estimated preparation time of four hours is only for the filling of prepared data in the standard format and not the preparation of the F&A proposal, which can take many months to complete. One thing is certain, every institution that submits a long form F&A proposal will be affected by the new standard format. The bottom line is the new requirement is not great news for universities, but it could have been much worse.

Pat Fitzgerald is the Director of Cost Analysis at the Massachusetts Institute of Technology and will serve as Chair for NCURA's second Conference on Financial Research Administration to be held in March, 2001.



See the NCURA Web Site @ www.ncura.edu for our new micrograph on F&A.

A New Paradigm for Research Administration: Putting Technology to Use

By Janet H. Carr

After reading Tony Merritt's article in the "Senior Corner" in the February/March issue of the NCURA Newsletter, I wondered if I fit the profile of a "Senior Administrator"? I have long ago gone gray (actually white) and I am "a little long in the tooth"; however, unlike the elephant's teeth, mine are not still growing. But I am also relatively "new" to the world of research administration. I came to research development after more than fifteen years of teaching writing to college students. For the past seven years, I have worked with research faculty and graduate students who seek external funding. I figured that if I could teach writing, I could help faculty, especially new and aspiring faculty, to write and submit proposals for their sponsored research.

Like Tony, I remember the old days, which in my case are the pre-ERA days of the mid-1990s. In my job, those were the days of conducting paper searches for funding. When a faculty member called me to conduct a search for funding, I'd drag down grant funding opportunity books (Government Assistance Almanac, Peterson's Grants for Post-Doctoral Study, The Directory of Corporate and Foundation Givers, etc.) from the shelf or rummage through the various NSF, NIH, and Department of Education booklets in the Grant and Contract Administrator's Office. Then, I would spend hours with pencil and paper and colorful post-it notes, scouring the listings and noting the pages with funding opportunities that matched the researcher's keywords with the subject index in the back of the book. Once done, I would lug these tomes to the copy machine, photocopy page after page, review each copy with yellow highlighter and notations, write an overview memo with an analysis of each funding agency, assemble them into a neat packet, and send it off to my potential PI. To do an adequate search might take one full day and then another day or two to reach the faculty member's campus mailbox.

Ah, but then the era of ERA (electronic research administration) dawned. Many of us were in Atlanta for those NCURA meetings about ERA. Remember that first important meeting held shortly after the 1996 Summer Olympics. The city was still recovering from a bombing. It was hot in August, but the conference site was pleasant and cool. Together, we launched the new ERA. We all worried about how we were going to manage electronic submission of proposals: what an ultramodern concept.

In those days, although we all had Macs or PCs on our desks, life for proposal developers and information specialists (some of the titles I have acquired over the years) was somewhat simpler by the pace and the tools we used (pencil and paper) to conduct searches. By contrast, today, I conduct searches for funding online, using the many web-based information services available — federal agency web sites, automatic email notification of funding from NSF and others, COS, ScienceWise alert, IRIS alert, electronic newsletters, etc. Now, when I see a funding notice, I can cut and paste this opportunity into

an email message, or into a document file that can be attached to email, and send it off to my potential PI. In the time it took me to conduct one search in the pre-ERA days, I can now conduct multiple searches and keep more and more faculty informed of funding opportunities as they cross my desk. So while the demands upon my time have markedly increased, my tools are better and faster. In the old days, I might do one or two searches in a week; today, I can do one or two searches in a day.

PIs also rely upon our office for finding out other pertinent information instantly. Who is the program officer at NSF/SBE? Should I send an email or call her? Will the division pay for my trip to Washington to visit NASA? Who has the latest PHS398 application materials? Could you download NIH budget sheets for me? Can I get some help with FastLane? And on and on. Email questions demand nearly immediate responses. And so I bounce from email to Internet to federal agency web sites to attached documents and drafts of proposals, and back to email. I am "online" eight hours a day reviewing proposals, sending out time-sensitive research information, or researching funding opportunities.

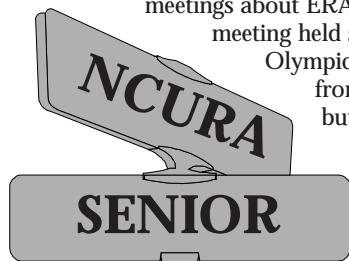
Several years ago, I worked with a proposal writer who lived in Southern New Hampshire; she was designing an arts program for inner city women and girls. We conducted the entire proposal development process via email. She would send me a draft; I would read and comment on it and send back to her. We never met face-to-face until the week she came into Boston to submit the final proposal through University channels. How progressive. We were on the leading edge. This experience was the beginning of a new workplace paradigm. Now, in my role as Research Development Associate, I facilitate proposal writing and research development electronically all the time, often never meeting the PI face-to-face until the process is well underway.

Once a PI or a team of researchers has identified a funding opportunity, I seek out qualified faculty and staff to form a team to respond to the PA or RFP. Using email, I build an address book for the team and set up a schedule for meetings. As we progress through the proposal development process, we are able to send and receive drafts quickly and efficiently and to keep on track toward submission. Once the PI drafts a budget, he or she sends it via email to the grant officer for approval. In this electronic proposal process, we can also download required agency forms, oversee the collection of CVs, and obtain Letters of Support/Commitment as attachments from stakeholders.

Another aspect of my work is to foster relationships with program officers and to build a solid knowledge-base of each federal agency. This means traveling to Washington, D.C. periodically, attending technical assistance workshops, and generally monitoring each agency's funding trends and budget allocations — most of this information is available online. Since so many funding opportunities today focus on collaborative and cross-curriculum programs, my responsibilities also include keeping track of faculty's research interests and where they overlap and intersect so that I can facilitate team submissions.

ERA has decidedly changed how we do business in research development. We not only receive and circulate funding opportunity information in a more timely manner, we also use email to arrange brainstorming sessions, post notices to listservs, and network with faculty. As a proposal is developing, we communicate to one another about the progress of the emerging product. Today, many proposals are submitted via the Internet. Not only NSF and NIH but also the American Cancer Society and some foundations request electronic proposal submission. In this new paradigm, most of our work is done online without our ever having to leave the office or the PC.

Janet H. Carr is the Research Development Associate, Division of Research Development, Northeastern University.



NSF FastLane Access: Electronic Signatures, Not Digital Signatures

By Stephen D. Dowdy

As mentioned in this newsletter, NCURA is redesigning and rethinking the method and manner in which information is disseminated to its membership. This article, distributed both in hard copy and electronic format, is written for all research administrators; the second, follow-up article, to be posted in the Newsroom section of the NCURA web site, will be written for the computer professional in mind and for those with an interest in exploring this increasingly important topic in greater depth.

When the NCURA co-editors asked me for a potential newsletter topic, I proposed revisiting the sometimes misunderstood distinction between electronic and digital signatures. Not because I love this topic (it is actually the 300 pound gorilla that no one wants to wrestle with at this time), but because NSF has recently transformed access to FastLane from a PIN based system to a password based system. By now, most of you have experienced having all your principal investigators (PI's) change their NSF passwords (see <http://www.fastlane.nsf.gov/a0/password.htm> for more information.) PI's should be strongly encouraged to keep their new password in strict confidence since it will now serve as the PI's electronic signature for all NSF e-commerce activity. Now, the technical side of the house is saying, "Steve, what does NSF's move from PIN to password have to do with electronic or digital signatures?" My answer, "Everything and nothing." It has everything to do with electronic signatures and has nothing to do with digital signatures. So, now the research administrator may be asking what is the difference between the two.

Let's start with electronic signature since it underlies NSF's strategic move from PIN to password. To do this, we must first ask, "What is a signature?" So, pulling out the dictionary, I find two definitions. One, "the name of a person written with his own hand to signify that the writing which precedes accords with his wishes or intentions." This, I believe, conforms to our traditional sense of what constitutes a signature. But, consider other forms of signatures. Does your controller actually sign your paycheck? Of course not! For years, society has recognized other forms of signatures as being true and legitimate. In the case of your controller, he or she has a stamp that "signs" the paychecks. Procedures are in place to insure that the stamp is kept in a safe place and is only used for official signing. Auditors look at the controls that you have in place to safeguard the use of the stamp. So, the first definition doesn't seem to hold up, especially in regards to the NSF signature pilot (see <http://fdp3.org/ESigPilot.PDF> for information regarding the FDP/NSF pilot.)

Turning back to my dictionary, I find another definition that helps bridge signatures to the electronic world. That definition is "to subscribe to or authenticate with one's signature." As evidenced by your controller using a stamp as the official signature for your paycheck, a signature can take on other forms as long as policies and procedures exist to safeguard and protect its use. Additionally, it is important that all parties recognize the legitimacy of the signature. So, let's turn back to NSF's signature pilot.

Basically, NSF has successfully argued with their auditors and attorneys that strong password authentication is sufficient for proposal submission. Saying it another way, the business risk associated with the potential misuse of a PI's

password is sufficiently reduced or minimized to justify the business risk. Prior to the move to passwords, NSF used a PIN. NSF's PINs were only a few characters in length and were easy to guess by hackers. So, before NSF could get their attorneys to agree to a no ink signature, they had to increase the number or characters and complexity (characters, numbers and/or special characters required) of the password. You see, a PIN is a password but it doesn't hold up to the guidelines set forth by the National Institutes of Standards (NIST) Federal Information Processing Standards (FIPS) (see <http://www.itl.nist.gov/fipspubs/fip112.htm> for more information) where high protection is required.

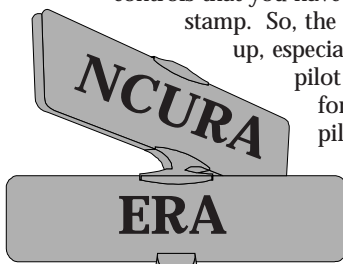
This is good news for the research community because it paves the way for universities to implement strong authentication without going through the pains of digital signatures. So what is a digital signature? Simply stated, it is a method to package all the bits and bytes in an encrypted form for subsequent use by a third party. The digital signature ensures that only the intended receiver can de-code (unencrypt) the data and that the data was not altered in transmission. The term non-repudiation is used often when we talk about digital signatures. With a true digital signature, the PI could not argue that the science was altered. The PI would not be able to say, "I didn't write that" or "That is not the text of the proposal that I sent." This would be very important in the event that falsifications of data or plagiarism charges are filed. The digital signature proves that the science was encrypted and was not altered during transmission and, most importantly, that the originator of the data was the "signer" of the digital file. While digital signature technology has been around for several years, the technology associated with its use has a large learning curve. Additionally, there are different algorithms used to generate digital signatures and not all are compatible.

So, what does your institution need to do? Are passwords sufficient for your business process? Should you begin to explore digital signatures (see <http://www.itl.nist.gov/fipspubs/fip186.htm> for NIST FIPS digital signature standard.) to ensure data is not altered? Have you considered using a strong authentication technology like Kerberos (see <http://web.mit.edu/kerberos/www>) for password encryption? Have you set up a certificate authority to help streamline your public/private key infrastructure? How does one cross-certify with a different certificate authority? What legislation is in place or is proposed to help eliminate some of our headaches?

Some of these questions will be explored further in a follow-up electronic article. I will be adding additional information and resources to help guide the university research administrator and the technologist to the answers to some of these questions. I am by no means an expert in digital signature technologies, but I hope to be able to help research administrators understand the issues to enable them to better weigh the business risks associated with not implementing some of these technologies. For the technologist, I hope to point them to resources that will help them understand what technologies are available and where we are heading. And for all, what emerging legislation may be of assistance.

Steve Dowdy is the Manager, Network & Info Systems, Office of Sponsored Programs at the Massachusetts Institute of Technology.

Steve Dowdy



F. JOHN CASE

*Executive Director,
Office of Contracts and Grants*

University of North Carolina at Chapel Hill

NCURA Member, 1988 to present

STATEMENT OF OBJECTIVES:

As an officer of NCURA for the last two years, I have been a part of the planning and implementation of the new governance structure. It is a challenging time for the Council, and this is making NCURA a stronger organization.

Watching the organization evolve, being a part of the new NCURA, and helping to devise and implement its new structure has strengthened my desire to lead the organization. It is an honor to be nominated for Vice President/President-Elect.

My goals for NCURA are: 1) to continue successful implementation of our revised governance structure; 2) to serve the members of NCURA by ensuring excellence in professional development offerings; 3) to support the regional organizations; 4) to further develop NCURA's leadership in research administration; and 5) to listen to, and communicate effectively with, its members. My goals are to lead this organization, both at the regional and national level, to meet the needs of all our members to the greatest extent possible.

NCURA LEADERSHIP ACTIVITIES:

- Treasurer, 1999-2000
- Chair, Financial Management Committee, 2000
- Member, Executive Committee/Board of Directors, 1999-2000
- Member, Financial Research Administrators Conference Committee, 2000
- Co-Chair, Long-Range Financial Management Task Force, 1999
- Member, Membership Committee, 1990-1992
- Member, Annual Meeting Program Committee, 1998
- Member, Region II Steering Committee, 1992-1994
- Member, Program Committee, Regions VI & VII, 1997-1999
- Member, Region VI Regional Outstanding Achievement in Research Administration Award Committee, 1998, 1999
- Member Region VI Travel Award Committee, 1998, 1999
- Member, Ad-Hoc Committee on Professional Development, Region VI, 1997
- Coordinator, Region II NCURA Annual Meeting Competition, 1991

NCURA AUTHORSHIP AND TRAINING ACTIVITIES:

- Author, NCURA micrograph—"Facilities and Administrative Costs in Higher Education", 2000
- Faculty, "Fundamentals of Sponsored Project Administration" Workshops, 1998-2000
- Moderator, Financial Research Administrators Conference, 2000
- Videoconference Faculty, "Straight Talk: A Primer on Award Administration", 1999
- Workshop Faculty, "Research Administration for the Newcomer, Emphasis on Post-Award Administration", 1994-1998
- Moderator, Electronic Research Administration Conference, 1998, 1999
- Moderator, Annual Meeting, 1992, 1993
- Panelist, Annual Meeting, 1991, 1992
- Discussion Group Leader, 1997-1999
- Workshop Faculty, "Research Administration for the Newcomer", Regions VI & VII Meeting, 1997-1999
- Moderator and Panelist, Region VI & VII Meeting, 1997-1999
- Moderator, Region II Meeting, 1992, 1994

- Panelist, Region II Meeting, 1991-1994
- Facilitator, Discussion Groups, Region II Meeting, 1994

PROFESSIONAL EXPERIENCE:

- University of North Carolina at Chapel Hill
 - Executive Director, Office of Contracts and Grants, April 2000 to present
- Desert Research Institute, University and Community College System of Nevada
 - Interim Vice President for Finance and Administration, February and March, 2000
 - Assistant Vice President and Controller, September 1995 to January 2000
- University of Rochester
 - Research Program Manager-Department of Medicine, School of Medicine and Dentistry, October 1993 to September 1995
 - Director, Grant and Contract Accounting-Finance Department, July 1989-September 1993
 - Manager, Grant and Contract Accounting-Finance Department, February 1988-July 1989
 - University Cost Accountant-Finance Department, June 1987-January 1988
 - Financial Analyst-Finance Department, July 1986-May 1987
- Sykes Datatronics, Inc.
 - Financial Analyst-Finance Department, May 1983-June 1986
- Independent Consultant
 - Research Administration, Financial and Administrative Management, June 1988 to Present

PROFESSIONAL ORGANIZATIONS AND ACTIVITIES:

- National Association of College and University Business Officers
- Society of Research Administrators
- Council on Governmental Relations
- University and Community College System of Nevada Committees:
 - Chair, Nonresident Alien Policy & Procedure Committee, 1998-2000
 - Chair, Administrative Technology Steering Committee, 1997-1998
 - Chair, University Controllers Committee, 1996-2000
 - Member, Continuous Quality Improvement Committee, 1997-2000
 - Member, Information Technology Council, 1997-2000
- Desert Research Institute Committees:
 - Treasurer, DRI Research Foundation, 1995-2000
 - Treasurer, Desert Research Parks, Inc., 1995-2000
 - Chair, Institutional Advisory Committee, DRI Presidential Search Committee, 1997-1998
 - Chair, Administrative Process Redesign Team, 1996-2000
 - Co-Chair, Future of Computing Committee, 1996-1997
- Member, Victory Village Day Care Center Board, Chapel Hill, NC, 2000-2003
- Vice Chair, Leadership Reno-Sparks Alumni Association, 2000
- Secretary/Treasurer, Leadership Reno-Sparks Alumni Association, 1999
- Member, Advisory Board, Leadership Reno-Sparks Alumni Association, 1998-2000
- UCCSN Board of Regents Outstanding Administrator Award, 1998
- Selected to "Who's Who Among Rising Young Americans"

CHRISTINA K. HANSEN

*Assistant Vice Chancellor
for Research Administration*

University of California, Irvine

NCURA Member, 1979 to present

STATEMENT OF OBJECTIVES:

I am excited about the Vice President/President-Elect position because it would allow me to implement strategies addressing the needs of research administration professionals. As a participant in the strategic planning leading up to the NCURA bylaws changes, I came to appreciate the following:

NCURA's primary mission is to provide professional development and information to the membership. To maintain our high standards, NCURA must develop new topics, venues, and training methods at the cutting edge.

In order to guarantee continued success, NCURA must attract and retain new talent to the membership, and offer more opportunities for our members to become involved.

As much as NCURA is a community of research administrators, it is also an organization of individuals with a wide range of expertise, experiences and responsibilities at public and private institutions. It is important to recognize this in our programming and business decisions.

NCURA LEADERSHIP ACTIVITIES:

- Member, Executive Committee and Board of Directors, 1994-96 & 1997-99
- Chair, Professional Development Committee, 1997-99
- Chair, Region VI, 1994-96
- Chair, Finance and Budget Subcommittee on Centralized Regional Investments, 1989
- Secretary-Treasurer, Region VI, 1998-90
- Workshop Coordinator, Annual Meeting, 1994
- Deputy Workshop Coordinator, Annual Meeting, 1993
- Member, Search Committee for the Executive Director, 1997
- Member, Professional Development Committee, 1990-94
- Member, Finance and Budget Committee, 1988-90
- Member, Membership Committee, 1986-88
- Member, Region VI Regional Advisory Committee, 1996-98
- Member, Region VI Bylaws Committee, 1992

NCURA AUTHORSHIP AND TRAINING ACTIVITIES:

- Co-developer, Proposal to Office of Research Integrity for Scientific Misconduct Video Conference, 1999
- Faculty, "Fundamentals of Research Administration" Workshops, 2000-2002
- Videoconference Moderator, "Misconduct in Science", 2000
- Videoconference Faculty, "Cost Sharing on Sponsored Projects", 1999
- Presenter, Special Conference on Conflict of Interest and Misconduct in Science, 1995
- Workshop Faculty, "Cost Sharing on Sponsored Projects", 1998,1999
- Workshop Faculty, "Conflict of Interest in Sponsored Research", 1990,1991,1992,1993,1995,1996
- Workshop Faculty, "Negotiating Research Contracts", 1985,1986,1987,1988,1989

- Panelist, NCURA National Meeting, 1999, 1997, 1995, 1994,1990
- Workshop Faculty, "Cost Sharing on Sponsored Projects", Region VI Meeting, 1999
- Workshop Faculty, "Conflict of Interest in Sponsored Projects", Region III Meeting, 1996
- Workshop Faculty, "Conflict of Interest in Sponsored Projects", Region IV Meeting, 1996
- Workshop Faculty, "Conflict of Interest in Sponsored Projects", Region III Meeting, 1994
- Workshop Faculty, "Negotiating Research Contracts, Region III Meeting, 1993
- Workshop Faculty, "Conflict of Interest in Sponsored Projects", Region IV Meeting, 1993
- Panelist, NCURA Region VI Meeting, 1999

PROFESSIONAL EXPERIENCE:

- University of California, Irvine
 - Assistant Vice Chancellor for Research Administration, December 1988 to present
- University of California, Los Angeles
 - Assistant Director for Health Sciences, Office of Contract and Grant Administration, 1983-1988
 - Contract and Grant Officer, Office of Contract and Grant Administration, 1979-1983
 - Assistant to the Director, Office of Contract and Grant Administration, 1978
- Photomarker Corporation
 - Marketing Director, 1977
- Chem Aero, Inc.
 - Assistant Sales Manager, 1976-1977
 - Sales Representative, 1974
 - Sales Office Manager/Sales Secretary, 1970-1973

PROFESSIONAL ORGANIZATIONS AND ACTIVITIES:

- Society of Research Administrators
- Council on Governmental Relations
- Federal Demonstration Partnership
- Assessor, UC Management Skills Assessment Program, October, 1985
- Consultant, Lawrence Berkeley Laboratory, review of LBL Sponsored Projects Office, 1989
- Business Consultant, National Institutes of Health site visit teams:
 - National Institute of Neurological, Communicative Disorders & Stroke (NINCDS), 1983, 1984, 1990
 - National Institutes of Child Health and Human Development (NICHD), 1984
 - National Institute on Aging, 1987

NCURA President Nancy Wilkinson has put together a second NCURA Videoconference Series with four programs of timely and much needed information. Those of you viewing NCURA's May videoconference heard Executive Director, Kathleen Larmett speak on the Council's commitment to continue providing distance learning for its members and those at their institutions. During the broadcast, Larmett commented on the large number of requests that had come in for NCURA to continue broadcasting workshops. Many were from individuals without travel budgets or from those who, due to time constraints, could not leave campus. All stated they were in real need of training and urged NCURA to continue producing videoconferences.

President Wilkinson began planning this series at the beginning of the year and has loaded it with valuable topics as illustrated by our first program of the series. On September 21st at 11:30 am, Eastern, **Intellectual Property Issues for the Research Administrator** will be broadcast with the cooperation of the Association of University Technology Managers. Faculty for the program include both NCURA and AUTM members such as, Ann Hammersla, Associate Vice Chancellor for Research at the University of Illinois Urbana-Champaign; Mary Ellen Sheridan, Assistant Vice President for Research and Director of University Research Administration, University of Chicago; and James Severson, President, Cornell Research Foundation, Cornell University and President of AUTM.

The program will focus on intellectual property issues that research administrators face on a regular basis such as identifying and assessing the significance of key issues and some alternative solutions along with covering the consequences that can occur for the anticipated technology and for the institution.

The next program in the series, **Electronic Research Administration (ERA) — Where are We Today and What Can We Expect Tomorrow?** is scheduled to air on January 23, 2001. The faculty will be led by Nancy Wilkinson, Assistant Vice President for Research and Director of Sponsored Programs at Emory University. She will be joined by Pamela Webb, Director of the Office of Research & Sponsored Programs, Chicago Campus of Northwestern University, along with federal agency representatives and university information technology specialists. Nancy and team plan to update us on the status of federal electronic initiatives and how we are accommodating them at our institutions. The impact of Public Law 106-107, the timetable and plans for the Federal Commons along with selected specific initiatives of leading federal agencies will be covered. In addition, we'll have the opportunity to hear perspectives from both central and departmental administrators in addition to technology specialists.

The third NCURA program, **Divergent Views and Issues When Contracting with Industry**, will take place on March 21, 2001. Heading the program is Robert Killoren, Assistant Vice President for Research at the Pennsylvania State University. Those of you who tuned in for Bob's program, last January, on "Contract Language" will not want to miss this broadcast as we move forward and are joined by our colleagues from the National Association of College and University Attorneys. Also to appear on this program are Kim Moreland, Director, Grants and Contracts Administration, Fred Hutchinson Cancer Research Center and Mike Champness, Project Director of the Research Collaboration Initiative of the Business-Higher Education Forum. This program will highlight the divergent views and issues associated with industrial contracting. Perspectives of the university administrator, the university attorney and the company sponsor will be incorporated as we look to understand cultural differences. Bob and his faculty will address appropriate risk management and offer sample solutions that can be deployed to meet the needs of all parties.

Rounding out the series on May 15, is **Compliance Issues Impacting Financial Research Administration**. We are pleased to announce Jerry Fife, Director of Grant and Contract Accounting at Vanderbilt University has agreed to lead a panel to include, Elizabeth Mora, Director of Sponsored Research Operations at Harvard University; Frank Zuraf, Vice President, Internal Audit at the Research Foundation of SUNY and Barbara Walsh, Manager, PricewaterhouseCoopers.

This videoconference will explore the requirements for compliance: both the tangible documentation and the "spirit" of complying with these requirements. The broadcast will focus on those aspects that primarily affect research administrators in departmental business offices and central post-award units. Our panelists will discuss strategies that may be employed to enhance compliance, the potential consequences for failure to comply, and will provide their perspectives in meeting the intent of complying with the agency requirements.

Registration is now available on the NCURA Web Site at: www.ncura.edu. Those institutions that register for the complete series will, once again, receive a discount equal to one free program. One major change from our last series is the option of receiving the program live or on tape. NCURA's Professional Development Committee recommended that the program be made available on tape for those institutions unable to receive the program live. The registration form (located on page 23) has an option to check off live or tape. Those institutions that choose the live presentation will receive the handout information prior to the broadcast and those who select the tape option will receive handout information when they receive their copy of the tape. The Professional Development Committee strongly believes that the best presentation of videoconferences is in a live format but understand that some institutions are not always able to book space for the day of the program and, others still do not have the technical support needed to receive a program.

Please take note of the dates and begin planning now to host your next NCURA 2000-2001 Live Satellite Videoconference Series.

September 21, 2000

**Intellectual Property Issues for
the Research Administrator**

January 23, 2001

**Electronic Research Administration (ERA) —
Where are We Today and What Can We
Expect Tomorrow?**

March 21, 2001

**Divergent Views and Issues When
Contracting with Industry**

May 15, 2001

**Compliance Issues Impacting Financial
Research Administration**

*All Video Conferences will be aired from
11:30 am-3:30 pm, Eastern Time. NCURA will transmit
a test signal one hour (10:30-11:30 am, Eastern Time)
prior to air time to give ample time to locate us!*

See Page 23 for Registration Form.

NCURA 2000 Calendar of Education and Events

September 21, 2000

Live Video Satellite Conference, Part I of the 2000-2001 Subscription Series Intellectual Property Issues for the Research Administrator

November 5, 2000

Workshop 2000
Washington, DC

November 6-8, 2000

42nd Annual Meeting
Washington, DC

January 23, 2001

Live Video Satellite Conference, Part II of the 2000-2001 Subscription Series Electronic Research Administration (ERA) – Where are We Today and What Can We Expect Tomorrow?

February 5-7, 2001

Fundamentals of Sponsored Project Administration
Orlando, FL

March 4-7, 2001 (tentative)

Financial Research Administration II
Orlando, FL

March 21, 2001

Live Video Satellite Conference, Part III of the 2000-2001 Subscription Series Divergent Views and Issues When Contracting with Industry

May 15, 2001

Live Video Satellite Conference, Part IV of the 2000-2001 Subscription Series Compliance Issues Impacting Financial Research Administration

November 11, 2001

Workshop 2001
Washington, DC

November 12-14, 2001

42nd Annual Meeting
Washington, DC

NEWSLETTER DEADLINES:

September/October 2000 Issue

Submission of Articles: September 8, 2000
Space Reservation for Ads: September 8, 2000
Submission of Display Ads: September 15, 2000

REGISTRATION – Videoconference Series

The cost of the full series (all four workshops) is \$2,800.00 per campus. To purchase a "ticket" to an individual session the cost is \$950.00 per campus. All Video Conferences will be aired from 11:30 am-3:30 pm, Eastern Time. NCURA will transmit a test signal one hour (10:30-11:30 am, Eastern Time) prior to air time to give ample time to locate us!

Live: Those institutions that choose the live presentation will receive the handout information, satellite coordinates to receive the show live on their campus, and a telephone number to call in their questions on the day of the broadcast.

Tape: Those who select the tape option will receive handout information when they receive their copy of the tape.

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A check, purchase order or credit card information must accompany registration form. For credit card payments, please complete the information below. Registrations received without payment or purchase order will not be processed. Please make check payable in U.S. currency to NCURA and send payment and registration to NCURA, One Dupont Circle, NW, Suite 220, Washington, DC 20036.

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| <input type="checkbox"/> Tape: \$2,800.00 | <input type="checkbox"/> Tape: \$950.00 | <input type="checkbox"/> Tape: \$950.00 | <input type="checkbox"/> Tape: \$950.00 | <input type="checkbox"/> Tape: \$950.00 |

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CANCELLATIONS: Notification of cancellation must be received in writing no later than 14 business days prior to the each telecast and are subject to a \$50 cancellation fee. Cancellations received after the deadline will not be refunded. You must receive confirmation from NCURA to receive a refund.

The National Council of University Research Administrators (NCURA), founded in 1959, is an organization of individuals with professional interest in problems and policies relating to the administration of research, education and training activities at colleges and universities.

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Washington, DC 20036

NCURA's Financial Research Administration Conference – A Huge Success

NCURA has long been known as the premiere provider of professional development and training to university research administrators around the country. In May, NCURA enhanced its already superb list of seminars, conferences, and workshops by sponsoring the inaugural Financial Research Administration (FRA) conference in Nashville, Tennessee.

The FRA conference, held May 9 – 11, was designed to meet the needs of post-award administrators, departmental administrators, and financial managers. Three tracks: compliance, organizational, and transactional, allowed some of the most reliable and credible people in the business to share their knowledge. The timely and stimulating keynote address by Lauren Brisky, Vice Chancellor for Administration at Vanderbilt University, elucidated change as a constant in research administration and described specific changes to information systems, organizations, and compliance facing research administrators today. The full text of her speech is available on the NCURA web site at <http://www.ncura.edu>.

The compliance topics covered all of the key “hot button” issues facing post award administrators today, including A-133 audits, changes to OMB circulars, and cost accounting standards. Among the cadre of experienced and knowledgeable professionals, presenters included Milt Goldberg, President of the Council on Governmental Relations (COGR), Anne Marie Mazza, Senior Policy Analyst, Office of Science and Technology Policy, and Julie Norris, Director of the Office of Sponsored Programs at MIT.

Organizational topics explored the many ways sponsored programs offices have been configured and reconfigured to manage the complexity of sponsored program administration. The conference included sessions on decentralizing administration to project directors, integrating pre- and post-award offices, and benchmarking best practices.

The Transaction track allowed attendees to focus on some of the unique day-to-day issues that post-award administrators face, including cost sharing, effort reporting, and F&A rate negotiation.

The almost 400 attendees at the conference represented institutions around the country and came from all walks of sponsored program administration, but primarily the financial side. Many of the conference registrants were first time attendees at NCURA meetings. In addition to the program activities, attendees were treated to the foot-stompin’ music of

Steve Smartt (of Vanderbilt University) and friends and the sights and sounds of Nashville. Evaluations from the conference revealed that people found the program and speakers to be “right on target,” providing “helpful advice and information.”

Conference chair Bonnie Boice Seward, Treasurer of the Research Foundation of SUNY, the program committee, the NCURA National Office, and all of the program speakers are to be commended for a job well done.

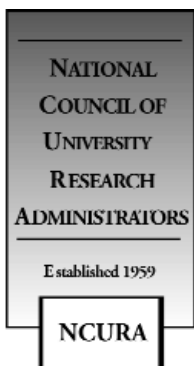
Fitzgerald Named Chair

Patrick Fitzgerald, Director of Cost Analysis at MIT has been named Conference Chair for FRA II.

At press time, Fitzgerald was selecting his program committee for NCURA's second conference for Financial Research Administrators.

As a member of the program committee for FRA I, Fitzgerald is very excited about the opportunity to do a follow-up conference and is planning to do this the first week of March 2001, in Orlando, Florida. If you have any program suggestions, please e-mail Pat at pwf@mit.edu

Watch for further announcements on FRA II.



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