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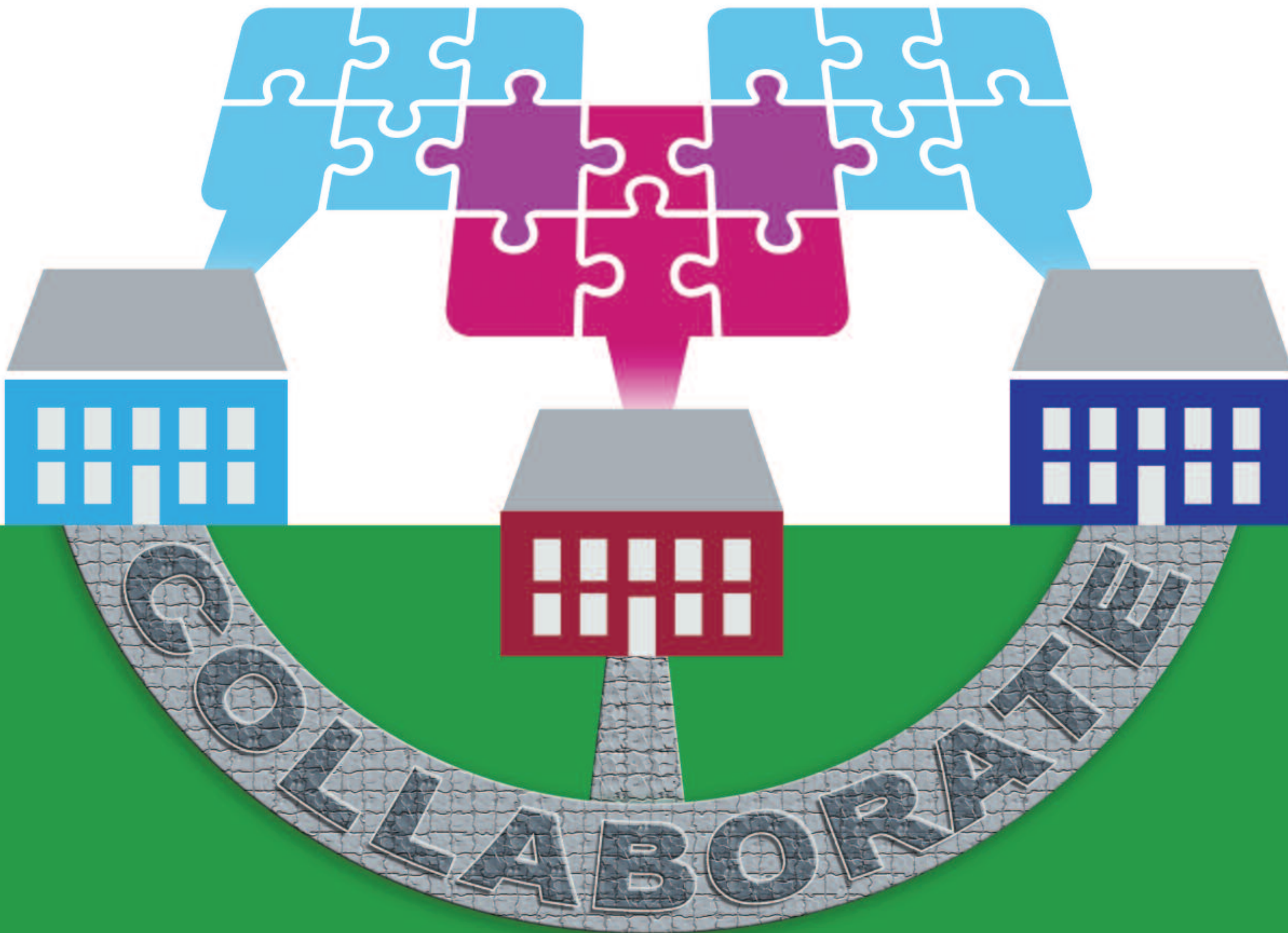

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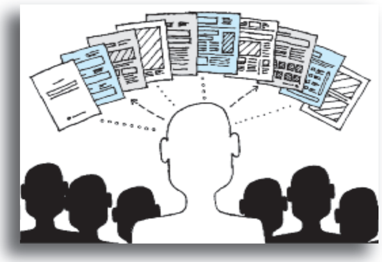

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Looking in the Mirror

NCURA Membership Survey Results

By Dan Nordquist, NCURA President

As with most associations who ask their members for a report card, the 1200 responses we received were, in some cases, expected and, in others, surprising, but all provide an opportunity to grow. We thank each of you who took the time to help guide NCURA as it continues to increase in size and value.

83% of NCURA respondents stated they felt their membership was valuable- to-very valuable; 8% were neutral; 8% found some value and six respondents said their membership was not at all valuable.

Not surprising, 24% to 54% of members were aware of NCURA programs and publications but had not used or attended them. The percentage of members who were unaware of programs and services, however, was higher than expected; the highest involved on-line tutorials which averaged 32% obscurity followed by NCURA's free-to-members podcasts at 21%.

On the volunteer front, 33% at the national level and 35% at the regional level were satisfied-to-very satisfied with their experience; only 1% both nationally and regionally were very dissatisfied. The largest percentages, 43% and 42%, were aware of volunteer opportunities, but had not yet volunteered with smaller percentages reporting neutral or unaware.

When asked if NCURA represents the interests of the profession, 94% agreed-to-strongly agreed and 93% agreed-to-strongly agreed that NCURA is keeping pace with the changes in the profession. Over 1,000 responding members believe NCURA's educational programs are high quality and that communication is regular and effective. Of the 715 who have called NCURA for assistance, 692 were helped in a qualified and friendly way. Surprisingly, with so many positive responses only 78% agreed to strongly agreed that NCURA provides good value for their dues.

Not a surprise – the over 1,000 members (86%) who ranked *NCURA Magazine* between very good-to-excellent and, while we were not surprised to learn that half of the responding readers share their hard copy of the magazine, we would not have predicted that 73% prefer reading the hard copy over the electronic version.

Under the category of areas for improvement, we learned that we need to provide more volunteer opportunities so that members who "answer the call" are not turned away but are, instead, given assignments where they are able to enjoy a successful volunteer experience – it is great to have a problem like this. In order to respond to this member need, we are creating a task force to look at new volunteer opportunities, as well as to create an infrastructure that supports our volunteers. We are also looking at making the current volunteer "pathways" more clear to ensure all members know how to navigate the progression of volunteer opportunities that lead to assignments of greater responsibility.

The NCURA website (slated for a brand new edition this year) was another major area cited for improvement. The lack of search capabilities was particularly noted.

We learned that career pathways and next steps in continuing education need to be more visible to our members *and* that there is a membership segment looking for mentors to help them. We now know that there are members looking for opportunities to present. For this reason, we will continue to offer free workshops on how to make effective presentations – NCURA style.

Beyond the above satisfaction questions, we asked what areas members wished NCURA would address, programmatically. We learned that you still want more information on effort reporting, compliance – all types, and cost sharing. There appears to be an increase in the number of members looking for information on export controls and international issues including presentations by administrators from outside the U.S. We also learned of an emerging need for more programs on human capital issues – everything from working with staff to dealing with stress.

Last, but not least, a number of you, who believe NCURA is an important part of your professional life, took the time to tell us "Keep up the good work." We thank you for the positive feedback and want you to know that we are determined to do just that and, in fact, the work will be even better.

Dan Norquist *is the Assistant Vice President and Director, Office of Grant and Research Development at Washington State University.*

On the Cover

"Two heads are better than one." "It takes two to tango." *It Takes a Village.* From our earliest days, most of us are encouraged to work with others. At home, we have families to lighten our loads. At work, we form teams and committees to tackle problems. And, while some of us have favorite athletes, more of us have favorite teams. Charles Darwin said,". . . those who learned to collaborate and improvise most effectively have prevailed."

From Dan Nordquist's results of the NCURA member survey to Carol Blum's *Capitol View* discussing some efforts coming out of—imagine this—Washington, DC, to coordinate agency policies and standards, the focus of this issue is collaboration.

Pam Vargas stresses the importance of collaboration not only with faculty and within our organizations, but also between research offices at collaborating institutions. Lane, Rosen, and Largent provide an update on the STAR METRICS program, a joint effort among federal agencies and grantees to document the outcome of science investment.

Schultz and Splittgerber outline a new initiative, known as *SciENcv*, to reduce investigator administrative burden, and Mary Louise Healy stresses the importance of collaboration to leadership. Bertero, Farinelli, and Poli share their views on different routes to research management and the importance of interaction among working groups. William Sacks includes collaboration as part of his suggested best practices for responding to new conflict of interest regulations.

Hope Grant provides suggestions for selecting eRA solutions, including "involving all stakeholders;" Stephanie Moore introduces NCURA's *Collaborate*, a new social-media feature coming in April/May; and Randi Wasik reveals the"mysteries" of departmental budgeting and provides tips for working with investigators and institutional officials.

Carolyn Elliott-Farino describes collaborative efforts to make a research foundation fully functional; and Andre Walker reviews Lampson & Porter's book, *Steer Your Career: A Research Administrator's Manual for Mapping Success.*

John Carfora interviews Gary Rhodes, an expert on international academic programs and study abroad. And in our inaugural *NCURAbly Pedantic* column, "Ty M. Neffert" presents tongue-in-cheek advice for making listserv experiences more satisfying!

So, as you can see, this and all issues of *NCURA Magazine* are prime examples of collaboration. As Helen Keller said, "Alone we can do so little; together we can do so much."

Debbie Smith
Co-Editor

Reference for the Darwin and Keller quotes: Levine, R (2011). "Get Inspired with these 10 Collaboration Quotes." Bright Hub. **http://www.brighthub.com/office/collaboration/articles/71425.aspx.**

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Call for Traveling Workshop Faculty

Are you a veteran research administrator who likes to teach? Do you enjoy sharing your knowledge and expertise with colleagues? Are you looking to give something back? The Professional Development Committee invites members to consider applying or nominating colleagues to serve as faculty for our traveling workshops. NCURA offers four traveling workshops:

Departmental Research Administration Workshop

Financial Research Administration Workshop

Fundamentals of Sponsored Project Administration Workshop

Sponsored Project Administration Level II Workshop

Faculty appointments are three year terms beginning January 2013. These prestigious positions include a required adult learning styles training this fall and a workshop observation prior to teaching. An honorarium is provided for each workshop you teach. NCURA reimburses all travel costs. More details including the application/nomination and recommendation forms will be available in the call for faculty later this spring. Please contact PDC Chair Twila Reighley at reighley@msu.edu with any questions.

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NCURA CAPITOL VIEW

By Carol Blum

Collaboration in Washington, DC. Okay – you can all stop laughing now. It's a tough sell in some venues but, as we have reported in recent past issues of the *NCURA Magazine*, some effort is being made to create government-wide policies and procedures. For example, the websites called for in the Grant Act or the DATA Act hope to establish a single, government-wide format or portal for applicants, recipients and general public access to information and reporting. Often "government-wide" suggests a harmonized or collaborative effort at policy, regulation or procedures that, in theory, should create greater efficiencies for those individuals and entities that must meet or achieve the policy objectives. However, the old adage – be careful what you ask for because you just may get it – may apply here.

In November 2011, the Office of Science and Technology Policy (OSTP) published two separate but related requests for information (RFI) in the *Federal Register* seeking information to meet a Congressional mandate included in the America COMPETES Reauthorization Act of 2010 (Sec. 103. Interagency Public Access Committee; PL 111-358). Congress, through the Reauthorization Act, directed OSTP to establish a working group to coordinate Federal policies concerning dissemination and long-term stewardship of the results of research, including digital data and publications. Congress charged OSTP with the development or designation of standards for both data and publications; coordination of agency programs and activities to support this stewardship; establishment of priorities for the development of Federal policies; notably, consideration of the distinction between publications and data; and, finally, the views and roles of stakeholders including scientific publishers.

In response, OSTP formed two working groups. The first, the multi-agency Task Force on Public Access to Scholarly Publications, requested information on Public Access to Peer-Reviewed Scholarly Publications Resulting from Federally Funded Research. In its request, the Task Force acknowledged earlier public meetings and consultations on public access to publications and then posed a series of questions in the RFI. The questions focused on a variety of issues including: growing "existing and new markets" for the use of publications, including how archiving strategies affect access and potential use of information for economic and scientific growth; protecting intellectual property rights; the virtues of centralized versus decentralized management; and, the question that has plagued these discussions for several years, the appropriate embargo period for access.

There is, of course, a model for public access to scholarly publications. The National Institutes of Health's policy on *Enhancing Public Access to Archived Publications Resulting from NIH-Funded Research* has provided a mechanism for public access to NIH-supported publication since April, 2008. NIH requires that all investigators funded by the NIH submit to the National Library of Medicine's PubMed Central an electronic version of their final, peer-reviewed manuscripts upon acceptance for publication. As a part of the requirement, the publication must be made publicly available no later than 12 months after the official date of publication.

The second OSTP group, the Interagency Working Group on Digital Data, requested comment on Public Access to Digital Data Resulting from Federally Funded Scientific Research and, again, drew on earlier discussions summarized in an OSTP 2009 report. The Interagency Working Group observed that while Federal agencies have policies for managing data, the agencies have not extended their intramural policies for preservation and access to data to the extramural research community with the notable exceptions of the National Institutes of Health's Data Sharing Policy and the National Science Foundation's reaffirmation of its data management policy requirement. Recognizing that these models may not be applicable across Federal agencies, the Working Group poses questions concerning "preservation, discoverability and access" and "standards for interoperability, reuse and repurposing." Questions address encouraging access to promote economic and scientific growth and protecting intellectual property as posed in the RFI concerning publications. The questions also raise the challenges associated with the costs of long-term preservation and burden of compliance and verification of compliance and the development of data standards that are effective, coordinated with international efforts, and support links between the data and related publications.

With the comments collected, OSTP now confronts the task of reviewing and assessing the comments with an eye to policy development. The comments have been posted online on the OSTP Blog and demonstrate the challenge OSTP faces in designing a coordinated Federal approach (OSTP, 2012). The largest number of comments was received on the question of public access to scholarly publications. The volume of the response reflects the continuing debate over the value added by scholarly publishers and consequent recovery of costs through subscription and the public access perspective that believes federally funded research should be immediately and widely available to the public that paid for it.

NIH has been a strong proponent of public access in the model reflected in its policy. In a very recent assessment, NIH describes strong support demonstrated by the thousands of journals voluntarily submitting peer-reviewed author manuscripts to PubMed Central (PMC), thus, assisting authors in complying with the Public Access process. To counter the argument that public access will undermine the business model used by most publishers, NIH found that, with the 12-month embargo, the scientific publishing sector has grown with subscription prices increasing and sector analysts predicting a rate of growth of the medical journal market, from 4.5% in 2011 to 6.3% in 2014 (NIH, 2012).

Despite this rosy forecast, the concern over the sustained viability of scientific publishing resulted in Congressional action. Rep. Daniel Issa (R-CA) proposed the Research Works Act in December, 2011 (Research Works Act). Designed "to ensure the continued publication and integrity of peer-reviewed research works by the private sector," the bill prohibits any federal agency from adopting, implementing, maintaining, continuing, or otherwise engaging in any policy, program, or other activity that causes network dissemination of any private-sector research work without the prior consent of the publisher or requires an author to agree to that network dissemination.

Maybe it's just the perspective from this desk in Washington, DC, but the Research Works Act seems to run counter to the goals of the America COMPETES Reauthorization Act mandates for public access. And what will OSTP's considerations of public access to publications and digital data offer to the DATA and GRANTS Acts discussed in earlier editions of the NCURA Magazine, and – well, it's hard for a girl to keep up. Be careful what you ask for.

References:

National Institutes of Health (NIH). (2012). *Public Access Policy Implications* (February, 2012) http://publicaccess.nih.gov/public_access_policy_implications_2012.pdf. Concerning number of journals submitting articles see National Institutes of Health, http://publicaccess.nih.gov/select_deposit_publishers.htm; concerning market growth see International Association of Scientific, Technical & Medical Publishers, STM Subsegment Forecast, 2011-2014.

Office of Science and Technology Policy (OSTP). (2012). Office of Science and Technology Blog at: http://www.whitehouse.gov/administration/eop/ostp/blog; Responses to public access RFIs, posted January 30, 2012.

Research Works Act, HR3699, 112th Congress. December 16, 2011. http://thomas.loc.gov/cgi-bin/query/z?c112:H.R.3699

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

Collaborative Research Administration:

How Pre-Award Can Facilitate a Team Environment

By Pamela Vargas

Most research administrators know that collaborative research is here to stay. The days of lone PIs getting large awards are less frequent. Funding agencies recognize the importance of teamwork and know that better solutions come from considering many points of view and different alternatives. While we help to support this activity for our researchers, though, we also need to remember how important collaboration is in our own jobs. Just as it is important for our researchers to work collaboratively to achieve more robust results, we, too, need to collaborate and form teams. None of us can truly go it alone, or at least we shouldn't try. It's easy to feel like the Lone Ranger when rushing to submit a proposal with a looming deadline and the final responsibility for meeting that deadline rests on you, but we should all remember that even the Lone Ranger was part of a team. His trusty sidekick, Tonto, was usually waiting in the wings to assist his partner. Together, the Lone Ranger and Tonto surely accomplished much more than each would have individually.

With all of the complexity involved in coordinating collaborative research efforts among individuals, disciplines, departments and organizations, we need the talents and skills of many people to succeed. Pre-award staff frequently deal with lastminute submissions, which sometimes limits our ability to work as a team, especially if the team has not yet been developed. But by building the teams early, just as we encourage our researchers to do, we can help ensure a good finished product and avoid many potential problems.

Communication among all of the stakeholders is the key element in establishing effective collaborative efforts. We need to get everyone involved, give them a voice, and encourage ownership. It's such a simple step, but so often overlooked. It's also important to remember that communication includes listening, too. By listening to the concerns of others involved in the entire sponsored programs process, we can create a better proposal, even when we have limited time. In doing so, we can facilitate effective management of the project after it is awarded as well.

We can all identify some obvious stakeholders in a proposal: the post-award staff (both financial and non-financial), human resources, risk management, facilities, information technology, and academic departments. In my early days as a research administrator, I handled everything, cradle to grave, except for the financial activities. Consequently, I have seen how things done at proposal time can affect an award, but I had the advantage of knowing what had been done and why. Later, when I began to specialize in pre-award, I tried to give the post-award staff a heads-up on important or unusual items. Communicating with post-award early and often can help ensure a better proposal and make the award monitoring much smoother. Ask them to identify the most common problems with the awards they manage, and work together to determine what pre-award can do to avoid those problems. Ask your post-award colleagues questions about how particular proposed items or award requirements will impact them. And when you see award requirements in a program announcement or RFP, note it in the proposal file or include a copy of the requirements in the file. Sometimes those requirements are not included in the actual award document, even though they are applicable. If there were any internal decisions made that will impact award management, make note of that, too, and include contact information in case there are questions down the road.

Creating a good relationship with your human resources office can also help to ensure a better proposal. Determining the appropriate personnel category and benefits for a hire at the proposal stage can save everyone a lot of heartache when an award is made by allowing for a better budget estimate.

Coordinating with risk management, facilities, and information technology offices can also go a long way towards creating a better proposal and avoiding common problems at the award stage. Occasionally, for example, space renovations may be needed before equipment, even computers, can be installed. If you can identify those needs before the proposal goes out, you may be able to include some of the expenses in the budget, or, at the very least, determine who will cover those costs and make sure everyone is in agreement.

Making connections with department heads and administrative staff not only helps when you need approvals, changes, or status checks, but also can help you smooth the way when you have a multi-department proposal. It's not easy to coordinate fourteen faculty from five departments and two colleges, but having a good network in place can help you get things done.

One very valuable tool in establishing relationships and effective collaboration within the organization is to conduct regular meetings with those we identify as regular stakeholders in the research enterprise. I have seen this work very well at promoting communication, understanding, and problem-solving. This is the equivalent of having a team of researchers who have already started communicating and planning together before the request for proposal comes out, versus the team that is established a few weeks before a deadline. Just like proposal reviewers can see when that is the case, we can also see a difference when we work together regularly and establish our team before a short deadline or crisis creates the need for it. Our proposals are stronger when we have already identified areas where additional efforts may be needed, such as unusual financial or other reporting, or hiring requirements, and address those concretely in the proposal. Then the reviewers know that we have the ability to handle the complexities, putting the proposal in a much more favorable light.

Training is another area that can be enhanced through collaboration. For example, I have found it to be particularly effective to work with information technology (IT) to conduct training for electronic proposal preparation. First, it helped IT to understand some of our hardware and software needs. Presenting with an IT staff member with a particular software expertise not only gave the attendees stronger training, it also made the training more interesting by having multiple presenters. And, in some instances, it can even be a way to get better time slots for the training! When I did training on my own, it was not part of the usual IT training series, so I had to take the time slots left after the 'official' training had been scheduled. Often those slots were over breaks, which made it very hard to get faculty to attend. Working with IT, I was given guest trainer status, which included being part of the initial scheduling process. No more training during spring break!

When your researchers are collaborating with other organizations, it is also important to communicate with your counterparts at those organizations. Sometimes this can be tricky, but the key can be to be sure you inform your researcher that you will be contacting the institution, and asking the researcher to find out if there is a particular administrator with whom you should work. I have only had a couple of researchers be concerned that I wanted to contact my counterparts, and that was usually because their collaborators had not yet informed their organizations that they planned to submit the proposal. Informing your researchers gives them the chance to do so prior to your initiating contact.

If your institution has any unusual requirements or qualities, letting the collaborating institutions know early can save problems and delays later… or at least ensure that everyone is aware that there could be delays. For example, if you are part of a system and do not have your own legal counsel or contracting services on campus, give the collaborating institution an estimate of the amount of time it will take to issue subcontracts if you are the lead, or to review and accept subcontracts if you are not the lead.

The world is getting much more complex. At the same time, it is also becoming much more globally oriented. The same follows for the research activity we oversee. Responding to these needs requires teams and collaboration… not just collaborative research teams, but also collaborative research administration teams! So build those relationships and communicate regularly. That way, even when you feel like the Lone Ranger trying to make a deadline, Tonto will be nearby, to offer assistance and other alternatives, and to make sure that all is well. In the end, that is the biggest benefit of collaboration and teamwork!

Pamela Vargas *is the Executive Director of the Research Center at Kutztown University. She serves as Pre-Award Contributing Editor for the* NCURA Magazine *and has previously served as Co-chair of the Pre-Award Research Administration Conference and Chair of Region IV.*

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STAR METRICS Update

By Julia I. Lane,

Rebecca F. Rosen and

Mark A. Largent

What is STAR METRICS?

STAR METRICS[1] is a voluntary collaboration between federal science agencies and research institutions to explore innovative approaches to documenting how federal science investments support knowledge creation, economic growth, workforce development, and a broad range of societal outcomes. The long-term goal is to create a data infrastructure that brings together inputs, outputs, and outcomes from a variety of existing digital sources in an open empirical framework. Such a data infrastructure would enable participants to use consistent data, models and tools to generate analyses and reports for their respective stakeholders while minimizing agency costs and respondent burden. It is intended to complement and enhance anecdotal and qualitative evidence.

STAR METRICS has two levels. Level I will attempt to document the initial effect of S&T investments on employment using administrative records from research institutions. The goal of Level II is to build on Level I by connecting sources of funding, recipients of funding, interactions among scientists in the public and private sectors, and the products of research over time.

Since its inception in June 2010, the pilot program has grown both in size and scope. It is also generating further interest among research institutions, federal science agencies, Office of Management and Budget (OMB), Congress, and other national and international stakeholders.

1 See Julia Lane and Stefano Bertuzzi, "Measuring the Results of Science Investments," *Science*, Volume 331, pages 678-680, February 11, 2011, https://www.starmetrics.nih.gov/

Why Develop STAR METRICS?

The STAR METRICS program was created in response to the reporting requirements associated with the 2009 American Reinvestment and Recovery Act (ARRA) and Administration and Congressional requests.

The passage of ARRA and the focus on reporting the jobs associated with science investments raised a number of concerns. The first was the accuracy of the results reported by recipient institutions. The second was the limited nature of the reporting requirement. Science investments have been documented to have long term impact in many areas, including scientific outcomes like the generation and adoption of new science as measured by citations and patents, on economic outcomes such as job creation, on the outcomes of the scientific workforce, and on social outcomes like health and the environment. The goal of the STAR METRICS data infrastructure is to develop a common empirical infrastructure to document the results of science investments.

At the time STAR METRICS was conceived, science agencies also had a need to respond to two Open Government memoranda: the first, a Presidential Memorandum on Transparency and Open Government (Jan. 21, 2009), and the second, the OMB Memorandum Open Government Directive (Dec. 8, 2009). Provision 1b of the OMB Memorandum states that agencies should publish information online in an open format that can be retrieved, downloaded, and searched. Provision 1c states that, subject to valid restrictions, agencies should proactively use modern technology to disseminate useful information. In addition, the White House Office of Science and Technology Policy (OSTP) requested in the OMB memo that federal agencies develop outcome-oriented goals for their science and technology activities.[2]

Federal R&D data currently are drawn from disparate sources, using widely differing methodologies and approaches, which make responding to the Open Government memoranda particularly challenging. Inputs, outputs and outcomes are not combined in a systematic fashion. The development of consistent and reliable answers to stakeholder requests requires the use of common data sources and standardized methodologies for data cleaning and analysis. At the same time, it is clear that continuing to require research institutions and principal investigators to manually report the outcomes of research was neither practicable nor desirable. A recent study, "Reforming Regulation of Research Universities," provides a good summary of the challenges. It found that poorly-integrated federal reporting and other regulations impose a heavy and growing administrative burden on federally-funded research. The report argues that this "regulatory overhead" is both large (and getting larger) and inefficient, with many federal reporting requirements overlapping and even conflicting. It estimates that 42% of faculty time relating to federally-funded research is spent on administrative duties, rather than on the research itself.

It is time to use new digital technologies to capture the data needed to demonstrate the broad scientific, social, economic, and workforce results of Federal S&T investments. Research institutions are already developing structured information architectures to capture current and more accurate information about their scientists' interests, activities, and accomplishments.[3] S&T agencies in other countries have also developed data platforms to identify and characterize scientific outcomes.

Spurred by the need to respond to ARRA reporting requirements as well as the promise of high-tech automated tools that could minimize manual reporting burden, OSTP staff and members of the Science of Science Policy (SOSP) Interagency Group worked with seven universities from the Federal Demonstration Partnership (FDP) to develop a reliable and low burden method for responding to ARRA's reporting requirements. The initial focus was to use university administrative records to identify all individuals supported by federal science funding, in order to generate information on the jobs created under ARRA. The universities found that it was not difficult to generate the required data files and that there was substantial value added from standardized reports, which were positively received by their stakeholders. The pilot results, which were presented at FDP meetings in September 2009 and January 2010, demonstrated the feasibility of creating standardized measures of results of science investments (initial job creation for pilot institutions, in this case) with minimal burden on respondents.

Both the agencies and research institutions involved expressed interest in expanding the pilot to create a data infrastructure that facilitated common responses to Congressional and Administrative requests. From that formed the current STAR METRICS Program, which continues to grow, and currently comprises more than 80 participating research institutions and six federal agencies.

STAR METRICS Level I

Level I of the project documents the initial effect of S&T investments on nationwide employment (**https://starmetrics.nih.gov**). It uses existing administrative data from participating research institutions to document four sets of job counts:

1. The number of individuals (scientists, students and research staff on research organization payrolls) that are supported by Federal funds for scientific research. These numbers are also aggregated to generate full time equivalent (FTE) supported by federal S&T dollars.
2. The jobs that are generated by the expenditure of federal funds on purchases from vendors.
3. The jobs that are generated by the expenditure of federal funds on sub-awards.
4. The jobs that are generated by the expenditure of federal funds for institutional support (through Facilities & Administration costs).

STAR METRICS Level II

Level II is the development of an open data infrastructure that is designed to capture information on and enable linkages between the inputs, outputs and outcomes of S&T investments, beyond the initial employment effects described in Level I. Federal agencies and researchers alike would be able to use this data infrastructure to develop a rich description of the broader results of science investments. As an open and dynamic system, STAR METRICS is intended to permit information to be ingested about science researcher accomplishments (scientific outcomes) from numerous rich data sources, including the

2 **http://www.whitehouse.gov/sites/default/files/omb/assets/memoranda_2010/m10-30.pdf; http://www.whitehouse.gov/sites/default/files/omb/assets/memoranda_fy2009/m09-27.pdf**

3 Including, for example, the VIVO Project (**http://vivoweb.org**), the Harvard Profiles System, and others.

USPTO database and scientific publication databases. Further, current Level II goals include the development of appropriate tools and use cases to demonstrate some of the many ways in which this data infrastructure can be utilized by science agencies and their communities. To gather requirements for the Level II system, a series of consultative workshops were held to identify both the products that STAR METRICS should produce for science agencies as well as the types of data, methods and tools that could be employed to generate the reports, while recognizing the continued importance of anecdotal and qualitative evidence to demonstrating the value of investments in science. At least three major technical challenges were identified in the workshops: (1) the dispersed and unstructured location of relevant data elements; (2) the problem of attribution because of the wide and dispersed number of players; and (3) the long time lags intervening between funding and results. Workshop participants suggested a number of approaches that could be implemented by STAR METRICS to address these challenges. Importantly, STAR METRICS could build on existing scientific knowledge by initially leveraging over $60 million of investments in academic research by the National Science Foundation's Science of Science and Innovation Policy (SciSIP) program,[4] as well as the independent investments of many federal agencies and research institutions. Equally important is for STAR METRICS to initiate pilot projects that could be further developed by the research community at large.

STAR METRICS Pilot Projects

Several tools have been created to respond to the needs of agency officials, policymakers, and researchers and to demonstrate the usefulness of the STAR METRICS data platform.

The **STAR METRICS Portfolio Explorer tool** (**http://readidata.nitrd.gov/star/home.html**) is intended to provide a contextual description of institutional scientific research portfolios supported by NSF. It utilizes natural language processing and topic modeling techniques to summarize the scientific topics described in each project description. The tool can be used to answer important questions for program managers and policymakers at federal agencies, including how much NSF is spending in each scientific area, and which programs are supporting research in those areas.

Further, it is hoped that the Portfolio Explorer tool can provide the public and the media with information about what NSF-supported research is being done in different scientific areas so that they can access scientific knowledge in their own region.

The **STAR METRICS Expertise Locator tool** is intended to help funding agencies to identify subject matter experts supported by NSF in order to develop a broader, more inclusive base of proposal reviewers and workshop recipients. The goal is for the tool to be used by researchers to locate collaborators. Eventually it might be used to answer university administrator questions about who is doing what research so that scientific teams can be fostered within and between institutions. It can also provide local businesses, the public and the media with information about who is doing research in different scientific areas so that links can be built between academic research and practical applications.

The **STAR METRICS R&D Dashboard** (**http://rd-dashboard@nitrd.gov**) was built to demonstrate how agency data could be used to provide place-based information in a manner symmetrical to the Portfolio Explorer and Expertise Locator. It is a prototype that describes NSF and NIH R&D investment inputs by both topic and geographic area. It begins to describe the outputs related to those investments by documenting the publications, patents and patent applications that can be associated with those investments. Of course, publications, patents and patent applications offer a limited view of the results of science investments. To address this, STAR METRICS is working with the FDP SciENCV (Science Experts Network and CV) pilot project. This project represents collaboration between two NSTC interagency groups – Research Business Methods and Science of Science Policy – and is intended to serve as a vehicle for enabling discovery about researcher expertise, employment, education, and professional accomplishments. It is also intended to reduce researcher and administrative burden for researchers and research institutions in federal grants administration.

The STAR METRICS team has had a series of activities in conjunction with the research community. AAU hosted a STAR METRICS meeting for over 40 VPs for Research in October 2011. There was a consultation meeting with the Vice Presidents for Research on Dec 12, 2011 at the National Press Club. In addition, the FDP Steering Committee had a two and a half hour hands-on workshop at the January 2012 FDP meeting in Washington DC. N

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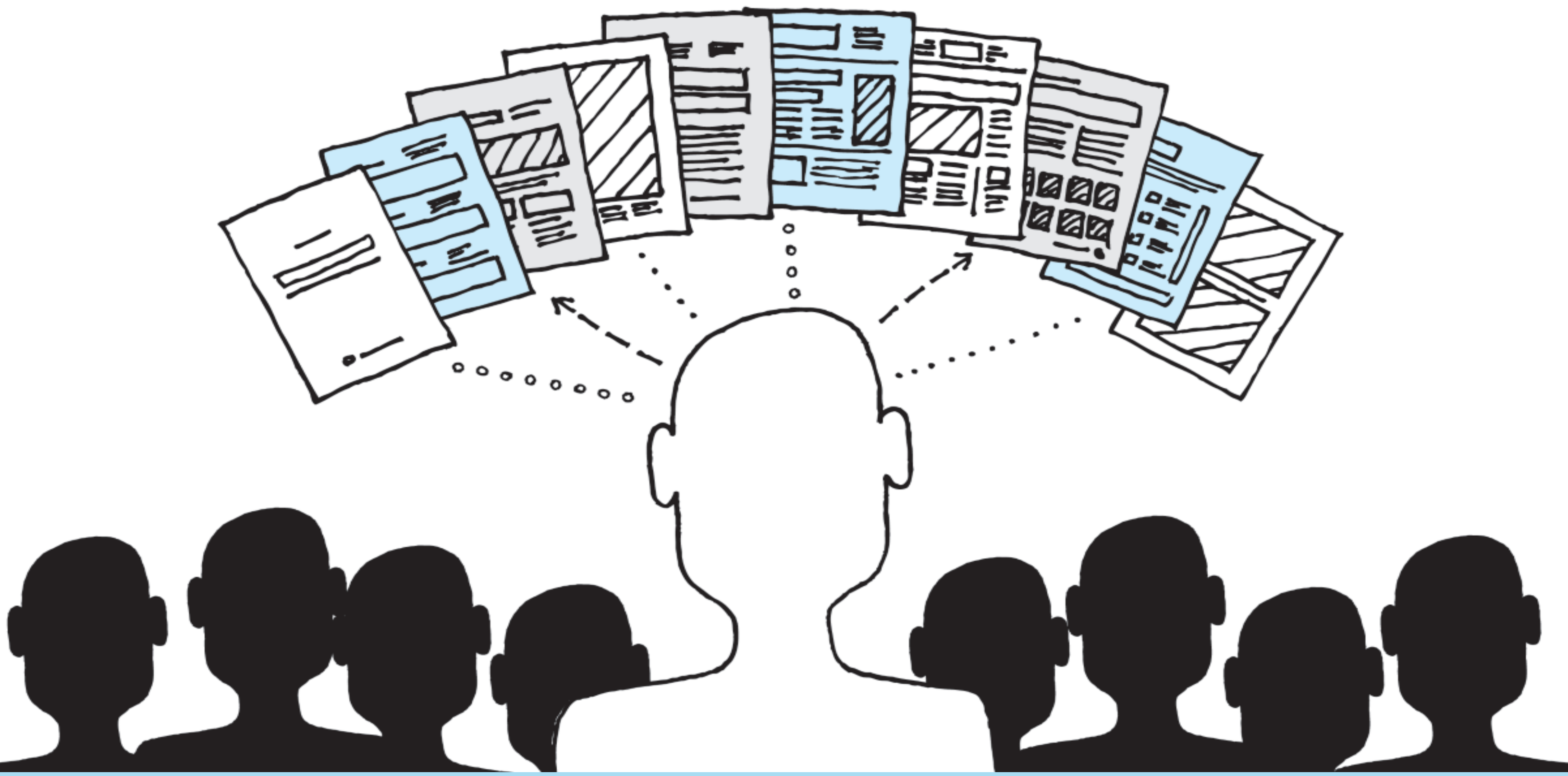
4 **http://www.nsf.gov/funding/pgm_summ.jsp?pims_id=501084&org=NSF&from_org=NSF**; See previous SciSIP awards at **http://1.usa.gov/scisip**

Reducing Administrative Burden and Enabling Discovery about Scientific Achievement:

Faculty Profiles and the Federal Demonstration (FDP) SciENcv Pilot

By Lori Ann M. Schultz and Ron Splittgerber



Faculty Profiles. We all understand the importance of maintaining a current **résumé**, curriculum vitae, or faculty profile. We see them every day in grant applications and progress reports, evaluate them to hire new staff, and use them to advance our careers. We add new information to our own résumés when we change jobs, publish research results, earn advanced degrees, present at professional organizations, and take on new responsibilities. A lot can happen in one year, so imagine when that year becomes ten, or twenty, or forty years. The work to maintain accomplishments over a decades-long research career is significant. *Faculty Profiles* are constantly changing because they include all of the biographical information related to a faculty member's career and professional achievements, including employment and educational history, collaborators and students, publication citations, patents, presentations, grant activity, and more.

Managing this information is both a burden and an opportunity. The administrative burden in maintaining and reporting profile information is clear: profile information is not kept in one place. It exists across multiple systems at universities, research institutions, and federal granting agencies. As a result, there is substantial effort required to assure each location contains accurate and up-to-date data, and resulting duplication of effort associated with keeping data up-to-date over multiple platforms and providing it in multiple formats.

Faculty and institutions struggle with multiple profiles and authentication mechanisms. The data are not consistent, and there is little perceived incentive to maintaining and updating the data[1]. Yet profiles can also provide an opportunity to promote a scientist's career. A well-advertised profile can

1 For additional information, see *Comparison of Research Networking Tools and Research Profiling Systems*. Retrieved February 6, 2012 from Wikipedia: http://en.wikipedia.org/wiki/Comparison_of_Research_Networking_Tools_and_Research_Profiling_Systems

serve as a vehicle for enabling discovery about researcher expertise and professional accomplishments. As such, it can provide a voice for researchers to document the results of the grants they have received and for agencies to describe the impact of their science investments.

In her July 2011 *Rock Talk* blog, Dr. Sally Rockey (Deputy Director of Extramural Research at the National Institutes of Health [NIH]) introduced the kick off of a federal-wide research profiles project. The Research Business Models interagency working group, the Science of Science Policy Working Group, and the Federal Demonstration Partnership (FDP) are working together to initiate a pilot of a federal-wide profile system (Rockey, 2011). The system is called SciENcv – the Science Experts Network Curriculum Vitae. The FDP pilot of SciENcv will capture information from existing systems to demonstrate how typical researcher tasks such as completing a biosketch could be accomplished from a connected system (Lane, Schaffer & Schultz, 2012).

In 2005, the Federal Demonstration Partnership (FDP), a collaborative initiative among 10 federal agencies and 119 institutional federal award recipients, funded the Faculty Burden Survey. This survey measures administrative burden on faculty research investigators conducting federally funded grant work and is often referenced when we talk about changing regulations, accounting standards, the demands of compliance activities, and their impact on a faculty member's ability to devote time to federally funded research (Decker, Wimsatt, Trice & Konstan, 2007).

Rockwell (2009) shows that 42% of federal research time is devoted to pre/post-award administrative activities. Progress-report submissions are listed as one of the top research-related burdens (Rockwell, 2009). While progress report formats are different across funding agencies, they have in common a requirement for biographical information for the Principal Investigator and key personnel, such as contact information, employment and educational history, and publication citations.

Before the 2005 workload survey and 2007 report, the FDP recognized that standardizing an investigator's profile, including curriculum vitae, would create efficiencies for both the faculty member and federal agencies, if the profile is based on a common template and standard components. In 1995, the FDP initiated the Electronic Grants Business Forum with that goal in mind. The FDP SciENcv pilot builds from that early work of identifying data elements common to an individual's profile. In August 2011, the FDP Executive Committee, in collaboration with five federal agencies, approved a demonstration (pilot) to begin work on a centralized common profile system, which has the potential to reduce faculty burden by:

- Importing data from existing systems,
- Reducing duplication of effort for the association of personal information with applications for grants and contracts from multiple agencies,
- Generating agency-specific formats for common items like biosketches and current & pending support, and
- Auto-populating applications and progress report forms.

The federal agencies are responding to administration mandates. The White House Office of Management and Budget (OMB) and Office of Science and Technology Policy (OSTP) have requested that federal agencies develop outcome-oriented goals for their science and technology activities (Orszag, 2010).

> "Agencies, in cooperation with OSTP and OMB, should develop and sustain datasets to better document Federal science, technology and innovation investments, and to make these data open to the public in accessible, useful formats. Agencies should develop and regularly update their data sharing policies for research performers and create incentives for sharing data publicly in interoperable formats to ensure maximum value, consistent with privacy, national security, and confidentiality concerns.
>
> Agencies should develop outcome-oriented goals for their science, technology and innovation investments; establish timelines for evaluating the performance of these activities, and target investments towards high-performing programs in their budget submissions. Agencies should support the development and use of 'science of science policy' tools that can improve management of the R&D portfolios and better assess the impact of their science, technology, and innovation investment" (Orszag, 2010).

Existing agency approaches are not adequate to respond to this request. The Science of Science Policy Interagency Working Group, a subcommittee of the National Science and Technology Council's Social, Behavioral and Economic Sciences subcommittee[2], summarized current agency practice in a report entitle the *Science of Science Policy: A Federal Research Roadmap* (OSTP, 2012). The roadmap found that agencies and departments across the Federal Government face similar challenges when setting scientific priorities and assessing the effectiveness of current and planned investments.

One of the Roadmap's key findings was that the current data infrastructure was inadequate for decision-making. It recommended that federal government agencies should work in concert to establish a theoretical and empirical framework to understand the science and engineering enterprise within the context of the science of science policy. It encouraged investment in the development and use of emerging tools, methods, data, and data infrastructure to enable science policy decision makers to base investment decisions on more rigorous and quantitative analyses.

The passage of ARRA, and the focus on reporting the jobs associated with science investments, led to two agency concerns. The first was the accuracy of the approach used in the reporting process. The second was the limited nature of that reporting requirement, since science investments have been documented to have longer-term impact in many areas, including scientific outcomes. At the same time, it was clear that continuing to require research institutions and principal investigators to manually report the outcomes of research was neither practicable nor desirable (Lane, 2010). A recent study titled, "Reforming Regulation of Research Universities," provides a good summary of the challenges; it finds that poorly integrated federal reporting and other regulations are imposing a heavy and growing administrative burden on federally funded research. The report argues that this "regulatory overhead" is both large (and getting larger) and often inefficient, with many federal reporting requirements overlapping and even conflicting. It estimates that 42% of faculty time relating to federally funded research is spent on administrative

2 The agencies and offices represented include: Department of Energy, National Science Foundation, Centers for Disease Control and Prevention, Central Intelligence Agency, Department of Commerce, Department of Defense, Environmental Protection Agency, National Aeronautics & Space Administration, National Institutes of Health, National Institute for Standards & Technology, National Oceanic & Atmospheric Administration, Office of Management and Budget, Office of Science and Technology Policy, U.S. Department of Agriculture, U.S. Geological Survey, and the U.S. Department of Veterans Affairs.

duties, rather than on the research itself (Smith, Trapani, Decrappeo, & Kennedy, 2011).

Approach

As the first step in this pilot, stakeholder groups from the research community were invited to respond to specific questions focusing on the needs of their respective groups. At the beginning of November, 2011, the FDP SciENcv working group sent questionnaires to institutions and organizations all over the country to solicit feedback from targeted groups including: new and seasoned research faculty, research administrators, and technical staff responsible for research information technology (IT) systems. The group sent questionnaires to FDP member institutions, American Association for the Advancement of Science (AAAS) fellows, National Institutes of Health's (NIH) *President's Early Career Award for Scientists and Engineers (PECASE)* nominees, National Science Foundation (NSF) *Faculty Early Career Development* (CAREER) Awardees, the Association of American Universities (AAU), Association of Public Land Grant Universities (APLU), National Academy of Sciences (NAS), Association of American Medical Colleges (AAMC), and American Association of State Colleges and Universities (AASCU), and many others.

A review of the questionnaire results provides a foundation for the work of the SciENcv pilot team. Since its release in early November, over 600 individuals have completed the questionnaire – a response rate well above the team's expectation. Initial results indicate the following:

- Research faculty strongly desire a resource reducing the requirement to provide repetitive information in applications and reports, with nearly ¾ of the respondents citing the need to repeatedly enter current and pending support information (when agencies already have the information) as the 'most burdensome' requirement.
- Research faculty indicate a need for a common platform to maintain profile information, with over 2/3 of the respondents wanting an automated repository of Biosketch information.
- None of the existing CV Profile Systems shows widespread use among respondents – the most often mentioned available system shows fewer than 10 respondents' adopting it.
- Research faculty show a desire to be involved in the development process, with over 2/3 of the respondents indicating a willingness to be involved in a more intensive discussion to provide detailed feedback in the development process.
- Those from the technical community show a high interest in continuing to be involved in the pilot (over 2/3 of respondents) with the administrative group at a slightly lower rate (just under 60%).

Based on these initial results and further conversations with stakeholders, the goal of the SciENcv pilot is to capture individual profile information from a variety of existing resources and make it available to the investigator on a voluntary basis. Similar to LinkedIn and other social and professional networking opportunities, the service will allow individual control of profile information and its visibility to the scientific community and granting agencies. In addition, the service will allow the individual to link ownership of existing reports and publications to a unique, persistent identifier for the researcher, making it transportable from one institution and one agency to another. This resource will assure that only the most accurate and current information is presented when the researcher opts to share it (ORCID, 2012).

The groups collaborating on the SciENcv pilot know that a quick turnaround of results is critical to demonstrating reduced investigator burden, increased data quality, and the future success of the SciENcv profile system. All stakeholders stand to benefit from the near- and long-term benefits of the SciENcv project; collaboration and support of the FDP, the Research Business Models and Science of Science Policy Working Groups are crucial steps in improving the way faculty, institutions, and funding agencies interact with profile data. This work has the potential to revolutionize the grant lifecycle and provide decision support information for institutional and agency leadership. For more information and pilot progress, please visit the FDP web site at http://www.thefdp.org.

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Leadership Tips

THE INCREDIBLY TRUSTWORTHY LEADER

By Mary Louise Healy

Jumbo shrimp. Act naturally. Advanced beginner. A definite maybe. Conspicuously absent. Oxymorons all – apparent contradictions in terms that are nonetheless true. How about "collaborative leader?" Is this an oxymoron or simply a contradiction? Isn't a leader supposed to lead the team rather than to collaborate with the team members in carrying out the shared mission?

LEADER AS SERVANT

Not so fast. What is leadership if not the building of trust and the enabling of co-operation among team members? Collaboration is essential to success because it allows for the free exchange of ideas that would not otherwise be possible. Collaboration requires a focus on accountability, solutions, and effective communication – all necessary to success (Heyman, 2011).

SERVANT LEADERSHIP – COLLABORATING FOR SUCCESS

Greenleaf (1977) described the concept of "servant leadership" as a leadership style in which leaders guide their organizations to better serve humanity, in which the leader first feels compelled to serve and then, through that service, to lead. The term "servant" seems counter to the idea of collaboration as well as to the concept of "leader," and servant leader appears to be another oxymoron. But servant leadership relies heavily, and focuses heavily, on the interactions between the leader and the team members (van Dierendonck, 2010). It is based on respect for team members and on mutual trust, and on the ability to build community (Joseph & Winston, 2005). Because the focus of the servant leader is on the followers rather than on the leader him or herself, or even on the organization (Sen-jaya & Pekerti, 2010), there is an inherent reaching outward, an integral focus on collaboration. Kouzes and Posner state this same concept a bit differently: "The relationship between leader and constituent is strengthened when leaders are obsessed with what is best for others – not what is best for them" (2010, p. 15). Servant leadership relies on interdependence, mutual trust and respect.

IT'S A MATTER OF TRUST

Back to that word, *trust*. A simple concept with a simple definition as it relates to leadership: vulnerability. Mayer, et al. (1995) describe trust as subordinates' willingness to be vulnerable to their leaders' behaviors and actions that are beyond the control of the subordinates. It's even fairly simple to understand why trust is an important aspect of leadership, a cornerstone of servant leadership, and why, without it, collaboration would be impossible. Trust itself is a collaborative construct. A leader may strive to be trusted, but that trust depends on how he or she behaves. One must prove oneself, through words and actions, worthy of trust. But trust also depends, and perhaps more so, on the team members' willingness to make themselves vulnerable to – and place their trust in –– the leader.

Simple, right? It's easy enough to understand the importance and mutuality of trust but not so simple for a leader to inspire trust in those he or she is leading. How does a leader go about this? Zeffane (2010) believes that leaders must identify and share their values, on a day-to-day basis, and then act accordingly to allow those values to shine through. This builds trust: saying one thing and doing that same thing.

THE FIVE PRACTICES AND CREDIBILITY

In order to build trust, it's necessary to establish credibility. Kouzes and Posner (2002) describe five practices of exemplary leaders:

- Modeling the way and leading through your own example
- Challenging the process
- Inspiring a shared vision
- Enabling others to act
- Encouraging the heart

Combined, these practices create credibility. The leader who does what she says she will do, makes her beliefs and values known, and is willing to take risks as she works with the team to accomplish its goals is honest, authentic, credible, and thus trustworthy. And there is little that's more important in a leader than honesty and trustworthiness. In a worldwide survey, Kouzes and Posner (2007) asked 75,000 people what characteristics they admire in a leader – what characteristics they look for in a person they would be willing to follow. They found that honesty was the single most important factor, chosen by 90% of respondents.

THE PATH TO TRUST

Be honest. Be credible. Act in concert with your beliefs and values. Others will trust you. This sounds great, but what are the concrete steps a leader should take to show that she is honest, to build credibility, to show herself as worthy of others' trust? Wilson (2009) describes three practical actions leaders can take as they build trust:

- **Speak with transparency**. As Kouzes and Posner (2007) state as the first rule of leadership, "If you don't believe in the messenger, you won't believe the message." Speaking with transparency allows others to believe you and means not only doing what you say you will do, but also being willing to share your thoughts, ideas, and feelings as well as facts. Wilson believes that sharing more rather than less is important and suggests leaders share twice as much as they think necessary (p. 51). It can be the case that a lack of trust is more attributable to what you don't say than to what you do say.
- **Keep promises and commitments**. Each time you do what you say you will do, you show that you are worthy of the trust you are asking others to place in you.
- **Balance competencies**. Leaders need not have all the answers but must be able to bring technical expertise and know-how together with leadership skills. They need enough technical competence to earn respect. Perhaps more importantly, they must be willing to acknowledge that they don't have the answer when that's the case.

Each of the five practices is apparent in these three actions. In addition to those practices, Kouzes and Posner (2007) also advise a congruency between the "say" and the "do" as the practical action to take in building credibility, and thus trust. In deciding whether or not a leader is credible, others first focus on the "say" – the leader's words – then on the "do" – his or her actions, and then compare the two. If the say and the do differ, the leader is not credible. There must be a consistency between the two. Kouzes and Posner call this consistency the second rule of leadership: "Do what you say you are going to do." Simple.

THERE SEEMS TO BE A PATTERN HERE

So what is the leadership takeaway from all of this?

- Know what you're doing
- Know that you don't know everything
- Be open about your beliefs and act in accordance with them, and, above all,
- Do what you say you will do at every step and turn along the way.

Then look forward to the highest compliment that can be given to a leader: "She's a collaborative leader. And incredibly trustworthy." N

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From Academia to Management and from Management to Academia:

The Search for a New Professional Route

By Michela Bertero, Chiara Farinelli, and Susi Poli

The debate on the topic of *research management* seems as widespread as tricky and it asks for exploring the main issues related to career development pathways to become *research managers (RMs)*, the professionals engaged in the *craft* of research support. Within the research landscape, *craft* seems the appropriate word, standing for vocation and the desire to do something well, concretely, for its own sake (Sennett, 2008).

The dilemma we are debating is whether it pays more, in terms of understanding and knowledge of mechanisms and practicalities to apply to research support, coming from academia or from management. No doubt that each of the two backgrounds brings its own features, along with strengths and weaknesses, as well as implications for supporting the research community and further challenges. Here comes the question: "Can we find a new way of supporting research, other than the attitude and stance directly derived by the routes of academia or management?"

We have chosen to approach this dilemma by investigating our pathways, first, from the point of view of their features; then, by stressing some of the benefits deriving from the interaction of professional identities from academia and management; and last, by reflecting on achievements in terms of professional abilities coming from one and taken to the other, so about the combination of features from the two identities.

First of all, some definitions are required: on one hand, we commonly state that research managers come from academia when they have a rooted scientific background (a Ph.D. degree, at least) before being enrolled in a managerial position. Such researchers become managers for constriction, by chance, or aspiration. On the other, we have those coming from management, people with a managerial approach to research coming first before any scientific background. Our professional experiences explain what it means being a research manager across the European Research Area (ERA), coming from academia (Michela and Chiara) or from management (Susi), with a critical glance at features, implications and challenges asking to be dealt with in the near future.

The size of our institutions and related research support services matter: Bologna University has provided high-quality support services to its community (more than 3,200 researchers) since 2005, with a central department counting around 80 RMs, specialized in a wide range of tasks, along with RMs based in local departments in charge of more discipline-oriented research support. The Center for Genomic Regulation (CRG) in Barcelona, a biomedical research center founded in 2000, has approximately 400 scientists and 40 RMs who streamline the search for funding opportunities and submission of proposals, organize communication and outreach activities, and foster collaborations with industry and other communities.

Three Professional Experiences

Michela received her Ph.D. in Genetics and acquired strong interdisciplinary scientific knowledge through two postdoctoral experiences in Canada and Germany; she is currently Head of International and Scientific Affairs at the CRG, working closely with the scientific director to explore new strategic projects and scientific alliances across Europe and worldwide.

Chiara is a young Ph.D. Mathematician who has recently started a career in research administration and management. Since 2009 she is employed at Bologna University as a Scientific Research Manager in the Department of Mathematics, where she gives support to researchers to find, apply for, receive and manage research funding, and other research related activities.

Susi combines a M.Sc. in Economics with a MBA in Higher Education Management after some previous experience in the private sector; she has been working since 2000 at Bologna University playing a wide range of roles in research support, engaged with national, EU and International research programmes. She is now enrolled in a professional doctorate in London, International oriented, on Educational Research.

What Features and Advantages Come from Academia and from Management?

Being a scientist implies passion for sciences, critical thinking, and willingness to support as well as to improve research methods and findings. Each research activity implies mindset, behavior and practicalities that can be usefully applied to management, including, among others, comprehension capability, problem analysis, networking attitude, and flexibility. Today, multidisciplinary research asks for a strong interaction among all the technical "languages" spoken within research as well as among the disciplinary languages spoken by researchers and the technical ones spoken by RMs. Coming from academia means, after having addressed some administrative/financial practicalities, to better realize what kind of scientific issues could be expected, and therefore to deal with them in a more effective way. Experiencing a scientific path also implies awareness of the standpoint and implications of undertaking such a challenging career. That's the reason why all these features, together, give their deep contribution to the management of research activities.

Investigating the management side means a culture towards administration and its "rules," embedded in a strong understanding of accounting systems, budgeting/reporting, as well as of many other practicalities. The management profile brings in the advantages of knowing university practices and regulations as well as the ways of university governance and organization, along with knowledge of colleagues standing on the same side and their way of approaching issues (the special "language" of management). Moreover, it means awareness of different layers of regulations across research (from university to EU or international ones); therefore, such a profile frequently allows opportunities to gain trust and confidence from researchers as dealing with bureaucracy and administrative burdens.

What Challenges and New Routes in Terms of Professional Development?

Research managers with scientific training need to acquire new knowledge in several fields such as economics, intellectual property, and ethics. This is achieved often by trial-and-error, through hands-on experience, networking, and by attending specialized courses. However, the challenge ahead is to define more clearly a professional development plan, including training on complementary skills, such as, among others, strong focus on communication and leadership. Since science is moving faster and faster, a main challenge the research manager faces is being able to keep up with scientific advances and new discoveries in the research fields of interest, and therefore integrate "research" with "management" activities. Here "research" is meant in a broad sense, from studying innovative management methods and good practices, to analyzing the advances of specific research fields, through researching the relationships between science and society, policy, health, and economics.

RMs with training in administration need a better understanding of the viewpoint of researchers, including its international perspective. This can be achieved through hands-on work but also by different professional experiences, such as Master's or Ph.D.s in education research or related fields. Such advanced training helps develop scientific approaches to problems (hypothesis-based and supported by experimental evidence); furthermore, some knowledge of the higher education sector as a whole seems to be perceived as a key point to easily get in touch with researchers elsewhere, by strengthening intercultural communication. However, despite coming from academia or management, a common challenge is to work at the interface between scientists and administrators, in what some call "Third Spaces" of collaboration (Whitchurch, 2008) so to maximize the assets coming from the two perspectives.

Conclusion: Launching an International Research Project

After testing these experiences on our skin, we have been reflecting about the degree of influence played by collaboration and interaction within working groups and its key role in sharing expertise/experience in research so to raise understanding of rules and practicalities, tricky mechanisms, and cultures to apply to research support. This sharing of experience and expertise (from ethics to accounting, from intellectual property to budgeting or reporting) seems to be the gateway to foster professional development among the practitioners involved, much more than training (but formal training can't be discounted). Some successful ''bonding'' exercises applied to research management have been implemented in our institutions, to stress the inner power and empowerment from collaboration/networking among all the RMs and the research practitioners. These exercises include face-to-face meetings between group leaders and RMs as "learning spaces" to know each other and clarify doubts or questions on each other position; workshops on specific scientific issues from scientists to managers; web-pages to spread information on opportunities as well as on suitable calls for target groups of researchers; tailor-made training for research support staff and early-stage research practitioners; and intra-departmental working groups to share both quality assurance-based procedures applied to management and practices for research bid purposes.

Thus, we are willing to launch a project to set up task forces in universities/research centers around the world, made up of research practitioners and RMs, so as to connect all such taskforces under the auspices of an overall network of learning communities dealing with the broadest array of research practicalities. In this way, each task force and all together could be successful in connecting local pockets of expertise and isolated research professionals, shaping tailor-made training for pioneers in research, and spreading information on the local domain of research. The final aim is to broaden the research community worldwide and promote an Open Access culture to research.

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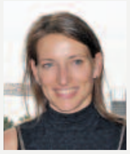
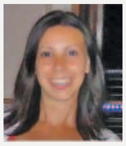


Michela Bertero *has a Ph.D. in Genetics and postdoctoral experiences in Vancouver, Canada (4 years) and Munich, Germany (2 years). She has 11 peer-reviewed publications and one book chapter. Dr. Bertero has five years of professional experience in the Center for Genomic Regulation (Barcelona), first as Scientific Officer of the Systems Biology Programme, and the last two years as Head of International and Scientific Affairs.*



Chiara Farinelli *has a Ph.D. in Mathematics and a Master's in Bioinformatics. For the past three years she has served as Head of the Scientific Office of the Department of Mathematics at the University of Bologna. This Office supports department research, working with faculty members in order to try to acquire research grants and help them with any other aspect of research, such as giving advice on faculty research activities, supporting the organization of seminars, conferences, and workshops, and disseminating the results of seminars, conferences, and workshops.*

Susi Poli *has an MBA in Higher Education Management from the Institute of Education (IOE), University of London, and currently is enrolled at the University of London, studying for an International/Professional doctorate in Educational Research. She has spent more than 10 years at Bologna University, as Managing Director, EU and International Research Facilitator and Manager. She is a member of EARMA (and of the Professional Development of Research Managers Internal Working Group) and of HUMANE – WSAN (member, as well, of the Steering Committee and the inner WG on Professional Development of Senior University Managers).*

Facing Tougher FCOI Regulations:

Best Practices to Help Prepare Your Institution

By William Sacks

The new Financial Conflict of Interest (FCOI) regulations from the Department of Health and Human Services (HHS) go into effect on August 24, 2012. At that time, research institutions that receive Public Health Service (PHS) funds from the National Institutes of Health (NIH) must be able to demonstrate greater transparency and accountability regarding financial conflict of interest management and reporting.

Easy access to current and accurate data will be the key to compliance. That is because institutions that have investigators with financial conflicts of interest (FCOI) in pharmaceutical, medical device, or other companies will be required to report to PHS and respond to public information requests more swiftly than ever before.

These FCOI regulations are not the first set of regulations offered by HHS, of course. The federal government released guidelines in 1995 requiring institutions to have a current, written process for identifying and managing FCOI[i]. However, these guidelines only asked organizations to certify they had a process in place; they did not stipulate the details. Consequently, many institutions adopted policies that merely asked researchers whether they had any conflicts, without delving into the specifics of those conflicts or how to resolve them.

The new regulations probe much deeper into FCOI[ii]. They mandate not only that institutions ask about all significant financial interests (SFI) related to institutional responsibilities, but also that they have a process to determine which SFI's are financial conflicts of interest, and that those are managed and disclosed in a timely manner. Institutions must respond within five days to a written public request for FCOI, for example.

In addition to requiring faster disclosure of conflict data, the new regulations also redefine significant financial interests to expand the scope of potential conflicts. After August 24, 2012, SFIs will be considered any remuneration or equity interest in a publicly traded company that exceeds $5,000 when aggregated over 12 months prior to the date of disclosure—regardless of whether it is related to specific PHS-funded research. This upper-level cutoff amount is significantly less than the $10,000 annual level described in the 1995 regulations. Any equity interest in a non-public company and certain intellectual property rights regardless of the amount, also are considered SFI. Under federal regulations SFI can be held by an investigator, his or her spouse or dependent children.

Best practices for FCOI disclosure management

To successfully meet the new FCOI requirements and maintain eligibility for PHS funding, institutions should begin putting new and/or revised processes in place for identifying, managing, and reporting conflicts of interest. Following are some best practices based on experience with numerous research institutions preparing for these changes that support institutions in this effort, allowing them to meet HHS regulations and ensure the most effective and efficient approach to conflict of interest management.

- ***Evaluate your institution's current system.*** Before any improvement comes understanding. As a first step in creating a new or revised approach to FCOI, institutions must take time to examine their current processes and consider what they will need to change in order to comply with the new regulations.

  Many organizations are using the NIH reporting requirements as an impetus to develop more comprehensive COI policies and procedures at their institutions. If there is a desire to develop a comprehensive process, institutions may want to put a committee together that includes representatives from all areas required to make financial interest disclosures. This might include, in addition to the research area, the office of the General Counsel, the Purchasing department, and Human Resources. Seeing the big picture allows an institution to design a system that efficiently meets everyone's needs, not just those of the research department. This can prevent unnecessary duplication of effort and support a more efficient and coordinated approach to managing conflict of interest disclosures.

  Networking with other institutions of similar size and scope can also be helpful during the review process. Sharing information with peer organizations can uncover potential solutions for consideration—as well as "lessons learned" about problems to avoid.

- ***Gain buy-in from leadership.*** For many institutions, bringing the conflict of interest management process into compliance with the NIH regulations will require dedicated, or increased, staff time and financial resources, at least for a period of time. In some cases, organizations will need to convert an all paper-based system to a searchable database that houses remuneration information and other relevant data. Leadership awareness and endorsement of an FCOI initiative will help secure necessary resources. In addition, leadership attention will underscore the issue's importance, ensuring the initiative does not lose momentum. With only a few months until the guidelines require compliance, institutions cannot afford to delay preparations.

- ***Streamline the disclosure process.*** Historically, completing disclosure paperwork often has been a cumbersome process for investigators that takes time away from other priorities. By improving and simplifying the collection process for conflict of interest information, organizations can simplify the task of disclosing potential conflicts, thus improving the likelihood of gathering timely and accurate information from investigators.

If an organization decides on a comprehensive COI Policy, significant financial interest questionnaires should be flexible and target the specific characteristics of the respondent. In other words, look at the roles of the people in your organization and ask targeted questions based on those roles.

For example, researchers may have a certain set of questions they need to answer, while other organization members may have a different set of questions—albeit with some overlap between the two. To streamline the data-gathering process for everyone, questionnaires should be designed so that the answer to one question triggers other relevant questions and avoids non-pertinent ones. This allows the respondent to answer only those questions specific to his or her work and situation. Questionnaires that leverage multiple-choice answers and drop-down menus also streamline the information-gathering process by keeping respondents from having to write free-text descriptions of their work—which are both time-consuming and difficult to search.

- ***Ensure easy data searches.*** In the new era of transparency and accountability, it is essential for FCOI information to be searchable. When a public information request is received by an institution, staff should be able to quickly search all conflict of interest data and identify personnel that meet the parameters of the request. An alternative is for the institution to choose the option of posting the information on the internet. Without efficient search capabilities, an institution may have difficulty responding in the timely fashion mandated. Consider, for example, an institution with 300 clinical trials underway that each has five researchers associated with it. A disclosure request might mean searching through 1,500 questionnaires, a process difficult to accomplish efficiently and effectively within the required five-business day timeframe without an automated search system.
- ***Support both annual and transactional processes.*** Many COI management systems collect SFI information on an annual basis. A comprehensive process like this gathers information and allows it to be updated throughout the year.

  However, institutions should also support a transactional approach that enables researchers to highlight potential COIs as they relate to specific grant applications or renewals. When an institution can tie financial disclosure information to specific grants on-demand, it can more quickly and easily respond to requests for FCOI information. This also allows institutions to maintain the most up-to-date financial disclosure information for investigators and key personnel. Furthermore, systems that tie relevant transactional information back to an individual's annual questionnaire help make the annual disclosure process easier.
- ***Develop solutions to effectively manage conflicts on the backend.*** As previously mentioned, simply maintaining information about SFI is not enough to comply with the new HHS requirements: organizations must also manage conflicts and prepare a mitigation plan for any conflicts after discovering them. This necessitates creating a management plan for each identified conflict, which may include one or more of the following actions:
  - Disclosing FCOI to clinical trial participants
  - Appointing an independent monitor who takes measures to protect the research against bias
  - Modifying the research plan
  - Changing personnel or personnel responsibilities, or disqualifying personnel from participation in all or a portion of the research
  - Reducing or eliminating the financial interest (such as sale of an equity interest)
  - Severing relationships that create financial conflicts

  To reliably keep track of conflict management efforts, FCOI systems should be capable of capturing all communication regarding a potential conflict quickly and easily in one place. This allows an institution to maintain a comprehensive record of conflict resolution activities. It also prevents staff from having to hunt down various communications—emails, phone calls, etc.—about a conflict when such information is requested, enabling conflict management in real time.
- ***Train investigators initially and periodically.*** After an institution revises its FCOI processes, it must train investigators on its policies before they may engage in any research funded by PHS[iii]. Organizations can provide training through live FCOI system demonstrations, web-based tutorials, and so on. Retraining should take place at least every four years, or immediately when an institution's FCOI policies change, investigator responsibilities change, an investigator joins an institution, or a researcher is found to be noncompliant with policy.

A strategic approach to compliance

While revamping a conflict of interest management process may seem daunting, it does not need to be—all it takes is a little time and dedicated effort. Organizations should begin working now to ensure they are ready to comply fully with the new regulations by the August deadline. Taking a methodical, best-practices approach to evaluating current processes, identifying future needs, and implementing forward-looking solutions is the key.

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William Sacks *has more than 30 years of experience in healthcare management as a consultant, medical practice manager, and faculty practice plan director. He is the co-founder and Vice President of Health Care Compliance Strategies (HCCS), the leading provider of effective online compliance training and Conflict of Interest tracking solutions to healthcare facilities.*

i Grants: Institutions and investigators that applied for or participated in PHS funded research were subject to conflicts of interest regulations. [42 CFR Part 50, Subpart F]; Contracts: "Responsibility of Applicants for Promoting Objectivity in Research for which NIH Funding is Sought" pertaining to investigators' actual or potential financial conflicts of interests [45 CFR, Part 94].

ii The Final Rule, "Responsibility of Applicants for Promoting Objectivity in Research for which Public Health Service Funding is Sought and Responsible Prospective Contractors." [42 CFR, Part 50, Subpart F and 45 CFR, Part 90].

iii The final rule requires institutions to inform each investigator of the COI policy, her/his responsibilities regarding disclosure of significant financial interests (SFI), and require each investigator to complete COI training at least every four years. [42 CFR, Part 50, Subpart F].

Editor's note: When considering the appropriateness of a regular humor column in NCURA Magazine*, one might honestly respond, "What's funny about university research administration?" Upon review and reflection, the answer may well be, "Just about everything." Clearly, if one doesn't laugh, tears tend to clog the keyboard and smudge the paperwork.*

NCURAbly Pedantic

By Ty M. Neffert

Etiquette Schmetiquette In the spirit of collaboration – it is simply a coincidence that this is the theme of this issue of *NCURA Magazine* – I write to advise, counsel, and mentor. But first, a confession: I am a listserv lurker. Oh, I'll occasionally dart out and post something every now and then, but my foray into the ether occurs less often than a blue moon and as quickly as the tongue of a frog finds a fly.

Be that as it may, as a lurker I've lived and learned research administration vicariously through the trials and tribulations of others. Not only have I grown as a professional, as demonstrated by a 14-year career at 15 institutions, but I've also successfully developed the following *Etiquette for Listservs.* You'll note that because listservs are intrinsically driven by e-mail, I've tossed in a few bonus tips regarding the writing and sending of e-mail:

- ✔ As a viable member of any listserv community, it is expected that you post ***"I agree"*** or ***"Me, too"*** as often as possible. This redundancy facilitates future collaboration and not only will help get your name out to your national colleagues so that they'll recognize it when recruiting, but also will result in your being recognized as an individual who does not pass an opportunity for self-advancement. Don't be afraid to grab that brass ring, I always say!
- ✔ Accept that research administration is a serious profession. As a result, feel free to point out errors and omissions, regardless of how seemingly insignificant, particularly to stakeholders like colleagues, faculty, feds, VPRs, and university chancellors. Publicly complaining about them also helps. ***No holds barred, that's my motto.***
- ✔ When drafting a personal response meant for someone off the listserv, routinely hit "reply" instead of "forward." If this is done often enough with diverse recipients, it identifies the sender as being well-connected and productive, and one who is ***far too busy to review e-mails*** before sending.
- ✔ And speaking of "reply," I've found that setting my e-mail default to always ***"reply all"*** has resulted in my successfully getting out my opinion – usually about specific individuals in my office or on my campus – to a much wider audience.
- ✔ Honestly, the audience can simply never be too wide. Always viscerally respond to a heated issue and include as many as possible. The numerous chancellors and deans at my past institutions have always recognized this inclusive approach as my preferred *modus operandi*. Truly, it's far more effective than ***setting aside an e-mail for cogitation*** when one only has to return to it at a later time. As with the removal of a splinter, a clean effective jerk is much more efficient and practical.
- ✔ Don't be afraid to write what you truly feel in an email. Professional listservs are perfect fora for ***sharing your ruminations and opinions,*** particularly about national politics. Honestly, your colleagues appreciate your eliminating the need for them to also check your Facebook status. Two birds with one stone . . . words to live by.
- ✔ Make sure your vacation mailer is set up to respond to each and every post on the listserv. Few things can ensure your popularity quite like reminding folks several times each day while they are tethered to their cubicles that you are ***relaxing on a Hawaiian beach.***
- ✔ Name-dropping in emails or listservs is absolutely critical to your professional success. ***The more you can point your finger*** at a colleague as being instrumental in your decision-making, the better positioned you are for sharing any blame.

There is no doubt that if you follow the etiquette tips provided herewith, you too will experience as rich and satisfying career as I. Valuable skills that you had never considered, nay even knew existed, will be learned along the way. I've personally refined some abilities and harnessed a wealth of knowledge. For instance, it's always best to hire a moving company. The simple reality is that I have never been able to rely on colleagues to help me pack and move. Although a fair number, bless their hearts, have generously collected donations to assist the process. N

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

NCURA 2012 Polls Will Open Soon

The Nominating and Leadership Development Committee extends a 'thank you' to all who answered this year's Call for Nominations for the positions of Vice President/President Elect and two At-Large Board Members. NCURA Members will receive an electronic ballot over the next few weeks and will be asked to vote at that time. Elections are open for 30 days after the polls open. Your vote counts! Thank you in advance for your participation in these important upcoming elections!

The 2012 Nominating and Leadership Development Committee

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Region VII
Jackie Hinton, University of Utah

NCURA MILESTONES

Csilla Csaplár, previously Senior Contract & Grant Officer, Office of Sponsored Research, Stanford University, is now Department Manager, Department of Geophysics at Stanford University.

Jilda Diehl Garton is now Vice President for Research and General Manager GTRC & GTARC at Georgia Institute of Technology.

Govind Narasimhan, previously the Associate Director – Research Finance, Division of Cancer Medicine, at The University of Texas M.D. Anderson Cancer Center, is now Director of Research Finance, The University of Texas M.D. Anderson Cancer Center, effective March 1, 2012.

Twila Reighley, previously the Assistant Vice President for Research at the University of Iowa, is now the Assistant Vice President of Research and Graduate Studies at Michigan State University.

Beth Seaton, formerly Director of Sponsored Projects at Western Illinois University, is now the Director of Research Administration for the McCormick School of Engineering at Northwestern University.

Robin Witherspoon, previously the Export Control and Export Facility Officer at the University of Tennessee, is now the Chief Export Control Officer at the University of South Florida.

Choosing the Best Electronic Research Administration (ERA) System for Your Organization

By Hope C. Grant

As organizational trends continue to move towards paperless environments and process efficiency, research entities are becoming more focused on automated procedures for the various aspects of research and sponsored programs management. This prominent issue has shifted quickly to the forefront as organizations jostle to reposition themselves as leaders in the research realm by eliminating redundant and antiquated approaches to managing and tracking project proposals and awards. Thus, we witness the ascension of electronic research administrative (ERA) solutions for organizational functions that support these sponsored programs. These emerging ERA companies promise one-stop shopping for all occupational areas of program management, providing hope for the intricate and sensitive aspects of research administration that outsiders rarely comprehend. The question surfaces: Which ERA system is best for our organization? The answer is not simple, though in research administration we find it never is.

It is easy to become overwhelmed with the many ERA systems available offering easy solutions to your program management dilemmas. However, there is a logical method to distinguish between the perceived and actual benefits that an ERA system can provide an organization. The process of determining an ERA system begins long before you contact any provider. In this article you will find best practices in determining which ERA system is best for your organization.

Analyze the Current Research Administration Process: Most institutions already have policies and procedures in place for tracking proposals and awards. The first step is to define the current processes and determine which successful aspects will remain and which new components will need to be added, not just in terms of the ERA software but regarding the general procedures as well. Assess what strengths and weaknesses the organization has and establish the capabilities that the ERA software should present to support the organization needs. Bear in mind not only where your organization is now but where it needs to be in the short-term and where it is going in the long-term. It is important to envision what the organization wants to accomplish through the ERA system and how it will incorporate future development

Examine Each Functional Area of Organization Process: Many ERA Software providers began with a particular module as a resolution for certain issues. From there it grows into a fully functional ERA system for all program management areas. However, while they may specialize in a particular area such as Human Subjects or Proposal Submission, the appending modules may not be the best solution for your organization. Therefore, we should address all areas and find out what will work best for each area of your organization. You may have to combine modules from different vendors to deliver the best possible solution for the organization's electronic research administration needs. These functional areas include Pre-Award, Post Award, Compliance, etc.

Research all Alternatives: After you have examined your organization and developed internal measures, it is now time to look to outside sources for information that will aid in selecting the best ERA System. Consult with your colleagues at other organizations. Find out what software people are using and what they are saying about the software. It is important to understand that what may work for one organization may not be the best for others, and vice versa. However, you do want to gather feedback from current users to evaluate whether the ERA solution will be mesh well with your organization's functional environment. Additionally, utilize online resources to develop a comparative schedule evaluating the pros and cons of each potential ERA solution. This will undeniably serve as a valuable tool in your final decision.

Involve All Stakeholders: While the ERA system is primarily designated for research administration there are others who will be affected by it. This includes the faculty, staff and administration within the organization. The faculty will have to be familiar with the new methods and how it will affect them. The administration will need to know how these costs will benefit the organization and produce effectiveness in sponsored programs management. The support staff outside of the sponsored program office must buy into the new system because interdepartmental procedures will change and valuable training should be made available to them. As a result, it is only sensible to include faculty and department administrators in the decision making process, gathering input from all parties and addressing current technical issues that they may face and how the new ERA system can be an improvement for them as well. While everyone may not be satisfied with the overall outcomes, the act of allocating time to receive feedback from all parties will build rapport and garner support for the final product.

Guarantee Technical Integration: The ERA solution should ultimately align with current processes without requiring major changes in previously efficient procedures. There are many other phases to program implementation outside of the actual installation of the ERA software. You also have to consider data migration, current resources available for integration as well as the other functional areas. Many organizations employ a number of technical platforms across the entire organization for supportive services such as human resources, payroll, financial management, and information technology and student records. The ERA System chosen will interrelate with all of these areas in some way so it is imperative that these can be integrated with ease and accuracy.

Consider and Prepare for Total Cost: Implementation of any new software can be extensive and expensive. Not only will you have to pay for the software itself but many times an organization's Information Technology Department may not be equipped to handle the installation itself so you may have to rely on the software provider for additional support that was not included in the regular schedule of fees. Additionally, these ERA systems are very large and process so much data that it is possible that the current hardware will also need to be upgraded to support the amount of information use. These systems are frequently upgraded and there may be modifications needed to assure full functionality and the optimal operation, which generally affix additional costs. Often times there are recurring expenses such as annual subscription and software maintenance fees as well. Usually, these systems are sold as package deals which include a fixed amount of support and training. So if there is additional training or support needed these will drive the implementation costs up as well. Finally, consider the human resources needed to execute the system installation. Utilizing the research administration team for the implementation project may cause the daily routine operations to become secondary tasks. How much employee time will you have to dedicate to this project? Will there be a need to bring in temporary support staff to maintain the standard level of operation? Contemplate all of these hidden costs and bring them to the forefront in negotiations with the team and software provider.

Plan for Implementation: Seldom do implementation projects go according to plan. Ultimately, these projects will take more time and money than originally intended. Consequently, it is important to develop a sensible plan and timeline for execution. While it is expected that Murphy's Law will affect all events, it is advantageous to anticipate roadblocks and consider possible obstacles that will prevent a smooth transition. Failure to do so will indubitably result in extended timelines, increased frustrations and higher costs.

Recognize Probable Benefits: During the sales pitch the software representative will probably provide some statistics regarding the benefits of purchasing their ERA system. However there are additional benefits within your department that they may overlook. It is advised that goal setting be completed to forecast concealed benefits and develop a vision. A simple way to do this is by incorporating the SMART Technique: Specific Measurable Attainable Realistic and Timely goals for the program. If several of these goals cannot be achieved with the prospective ERA System then it is possible that it is not the right solution for your organization.

Remain Open Minded: Throughout the process the team and all stakeholders should remain flexible there are goals that need to be achieved but it may not be done in the manner or timeframe that was originally proposed. But this does not mean that it is not the best solution. As stated in Step 2, a combination of modules from different providers may be the best fit for the objectives set out. You are not required to obtain all systems for each function from one provider. At times it may be best to keep certain technical features in place that have been proven in the past within your organization. Also, it is not always beneficial to go with the first provider that contacts you or the one that is most popular. There will be deviations from the original path but the detours maybe well worth it.

Aftermath: Lastly, as your organization continues to grow, so should the capabilities of the ERA system. The system chosen should sustain itself with new compliance requirements and improved technology. Additionally, incessant training and support is needed to address turnover, process improvements and technological innovations. N

Hope C. Grant *is a Research Administrator at Clark Atlanta University. Hope has seven years of experience in research administration including pre award, post award and financial compliance. She has been fundamental in electronic research administration matters throughout her career supervising data conversions, system modifications, process assessments as well as training end users. Additionally, Hope's is interested in policy development and process improvement. Her current responsibilities include electronic documentation and data management, preaward services, proposal development and organizational strategic planning.*

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International Insight:

A Brief Interview with Gary Rhodes, Ph.D.

By John M. Carfora

Introduction

I received several emails from *NCURA Magazine* readers asking if I might consider interviewing an authority in international academic programs and study abroad, so I asked a long-time colleague, Dr. Gary Rhodes, to share his thinking, expertise and experience with us.

Dr. Gary Rhodes is Director of the Center for Global Education (Center) at the Graduate School of Education and Information Studies at University of California, Los Angeles (UCLA). Through his leadership, the Center serves as a national and international resource in support of international education by collaborating with colleges, universities and other organizations around the world to:

- Create new and enhance existing study abroad programs;
- Integrate international and intercultural perspectives into the U.S. educational system;
- Increase the ethnic diversity of participants in study abroad and provide special resources to support their participation;
- Provide information to better prepare students and other travelers for their experience abroad; and
- Encourage research in the field of international education.

The Center has been doing this since 1998 with print and online research and resources for faculty, staff and students, and indeed anyone with an interest in international education. You can visit the Center's website at http://www.globaled.us/.

Dr. Rhodes earned his B.A. (English) from the University of California at Santa Barbara, along with an M.A. (International Relations), an M.S. (Education), and his Ph.D. (International Education and Higher Education Administration) all from the University of Southern California (USC). He has published a number of timely articles on issues related to university internationalization, covering such areas as international learning, effective administrative practices, risk and safety, crisis management, and legal issues and study abroad. Dr. Rhodes regularly presents at domestic and international conferences, and is the recipient of Fulbright Senior Specialist Grants to India and South Africa. Let us begin the interview…

Gary, I have heard the story of how you founded the Center for Global Education, and think our NCURA audience would enjoy having you share it with them.

In 1987-89, I was working on the *Support to Primary Education Project* in the Republic of Cameroon as a graduate research assistant at USC for the first year and its Acting Technical Advisor for the next year. The USC project, developed by the Chair of my Ph.D. work and mentor, USC Professor Dr. William Rideout, Jr., was funded by USAID and was focused on cross-system collaboration and training to improve the primary education system in the Northern Provinces of Cameroon – in collaboration with Teacher Training Colleges, the Ministry of Education and the Inspectorate-General.

Returning to the USA in 1989, I began working in the Office of Overseas Studies at USC while finishing my dissertation, titled *Legal Issues and Higher Education: Implications for Study Abroad: Key Issues for Institutions and Administrators*. Supporting the Center's impact on the profession of international higher education administration, a key element has been conections developed through NAFSA: Association of International Educators. My first conference was in 1990, and since that time I have been presenting on issues related to (1) effective program administration, (2) integrated international learning, (3) diversity, (3) research (4) legal issues, (5) risk management and (6) study abroad. Not surprisingly, after early presentations on legal issues and crisis management, professionals would often say: "interesting information, but you are scaring me about potential institutional and personal liability issues."

Can you tell us what your next steps were, what collaborative connections were made, and what types of extramural support you received for your efforts?

While enjoying the work of sending students on study abroad programs, it was clear there was a "missing link" between institutions of higher education and their policies and procedures around study abroad. For example, in 1996 there were a number of highly publicized incidents that unfortunately resulted in the injury or death of students during study abroad programs. It became clear that my efforts would be better spent focusing on research and development of resources to support the field, rather than continuing as a full-time study abroad administrator.

In 1998, I received my first FIPSE grant (U.S. Department of Education) to develop a "clearinghouse resource" to support the study abroad field. That award funded the *Safety Abroad First Educational Travel Information Clearinghouse* (SAFETI), which continues to support the field today **(www.globaled.us/safeti)**. Along with a comprehensive set of materials for helping academic administrators improve institutional policies and procedures to support study abroad programs, an important part of the effort was the connection to U.S. government agencies. Indeed, in 1998 the only U.S. Department of State content on the theme focused upon college students on spring break in Cancun. Since that time, we have worked closely with Consular Affairs, and they subsequently developed many online resources to support colleges and universities, including a website dedicated to study abroad students and other student travelers **(www.studentsabroad.state.gov)**.

Another agency within the U.S. Department of State, the Overseas Security Advisory Council (OSAC), focused effort on helping the U.S. government and businesses support safety abroad. In 1998, I became part of a working group for OSAC, and we began increasing membership from colleges and universities. Today, OSAC provides online information as well as Research and Information Support (RISC) staff who can respond to questions universities have about safety issues for students, faculty, and staff in countries around the world. In coordination with OSAC, I helped develop and lead many domestic and international study abroad safety workshops, and also collaborated with the U.S. Peace Corps to develop documents on health and safety **(www.globaled.us/peacecorps)**. Another area of collaboration was with the U.S. Centers for Disease Control and Prevention (CDC), where they have increased resources for student travelers, and in their publication titled *CDC 2012 Health Information for International Travel* (popularly known as the *Yellow Book*), I co-authored a chapter on health issues associated with student travel.

While working on the SAFETI Clearinghouse Project, a USC *Alumni Magazine* article highlighted the work of the Center and the SAFETI Clearinghouse. A parent contacted me and said: "It looks like you've put together a good amount of useful information for administrators, but what about information for parents and students." This comment helped lead us toward our second FIPSE Grant, which focused on developing student and parent centered health and safety information, along with a range of much-needed orientation resources. We put together a series of *Student Study Abroad Handbooks* **(www.studentsabroad.com)** and collaborated with Professor Bruce LaBrack and other colleagues at the University of the Pacific where they developed a popular resource titled *What's Up With Culture?* **(http://www2.pacific.edu/sis/culture)**. The *Study Abroad Student Handbooks* provide background information, questions, issues, checklists, and resources for finding quality study abroad programs, having essential support in place, and being able to review the quality of program implementation. Similarly, *What's Up With Culture?* provides pre-study abroad and re-entry cross-cultural information, exercises and other resources for enhancing the educational experiences of students who study abroad. Over the years, we have developed 29 country-specific handbooks and we are currently working to expand that number.

In 2004 you moved the Center from USC to Loyola Marymount University (LMU); what was the Center's focus while there?

After developing a range of SAFETI clearinghouse resources and *Student Study Abroad Handbooks*, we focused our efforts on two additional challenges. First, the field was looking for content that could augment co-curricular support for students before, during and after study abroad. Second, there was a need for increasing diversity in study abroad programming. The initial FIPSE Comprehensive Program Grant at LMU supported the *Project for Learning Abroad, Training and Outreach* (PLATO Project). Through this grant, we created online courses for study abroad **(www.globalscholar.us)** as well as diversity outreach resources **(www.allabroad.us)**. The *GlobalScholar.us* online courses have been used by many universities, with some providing links to access content independently, while others use our Center's content to help them develop "for-credit" courses for their students. To help institutions increase diversity, we developed **www.AllAbroad.us,** which provides mentorship support and other key resources for increasing diversity within study abroad programs.

The next FIPSE Comprehensive Program Grant, the *Project for Learning in the U.S.* (PLUS), focused on developing resources to help U.S. colleges and universities support international students on their campuses. We developed a set of online courses to help U.S. campuses support international student success before, during, and after study in the U.S. **(http://ustudy.us/)**, along with resources to enable international students to connect with U.S. students while studying in the U.S. **(www.globaled.us/PLUS)**.

In 2010 the Center for Global Education moved from Loyola Marymount University to UCLA; since that time, what has been the Center's focus?

The importance of supporting the wider impact of international learning came from published studies from the University of Minnesota, Indiana University, and the Georgia System of Public Higher Education which showed that study abroad not only does not delay graduation, but students who studied abroad – even when accounting for prior GPA and SAT scores – were graduating at higher rates than students who did not. For example, findings from the State of Georgia's GLOSSARI Project (http://glossari.uga.edu/) showed that African American students who studied abroad graduated at over 30% higher rates than students who did not study abroad.

The Center's work also includes significant collaboration with the California Community College system, and we received a *Title VI International Research and Studies Grant* focused on the impact of study abroad upon California Community College students. This research looks at both international learning and the impact of study abroad on retention, academic success at community colleges, and transfer and success at four-year campuses. We are still working on that particular project **(www.globaled.us/CCCSOAR)**, and also working to facilitate additional data collection, research, and program implementation at four-year colleges and universities **(www.globaledresearch.com/study-abroad-impact.asp)**

The Center also developed a number of other resources to support the study abroad field. For example, we recently updated a searchable online database of bibliographies and abstracts of research spanning the field **(www.globaledresearch.com)**. We also continue to support collaboration across California on study abroad **(www.calabroad.org)**, as well as area studies and other international education efforts throughout Southern California **(www.SOCCIS.org)**. Finally, we are further developing resources to help students moving from any country to any other country **(www.iStudent101.com)**.

Gary, what important projects would you like to pursue over the next five years?

From its inception, the Center's focus has been on developing "high-impact resources" that would be useful **and** sustainable. I'm happy to report that all the research and resources we've worked on continue to grow and maintain relevancy, and updating content on the Internet has been a critical element in being able to do so in a timely manner.

Here are my priorities. First, to make sure our work continues to be relevant and grow. Seond, as we continue to find examples of ways that study abroad and international learning impact student retention and success – which effectively includes first-generation and at-risk college students – an important step will be

(a) to support expanded data collection and the sharing of best practices, and (b) to identify additional scholarship funds for helping students with limited resources take advantage of study abroad opportunities.

While we have developed many valuable resources for faculty, staff and students, I'd like to get additional users to visit and utilize the Center's resources. One goal for 2012 is to increase outreach and make better use of social media to get the word out about the Center's work, share information, enhance content, and obtain additional feedback to improve our work. Another area of focus is finding ways for developing content that enables more graduate students – who are studying higher education – obtain information about how the internationalization of higher education, along with the effective administration of international programs, can enhance their study of higher education and higher education administration.

As we increase the number of online courses that support students studying around the world, we are working to find ways to also make them available for credit so students – who don't have a home campus ready to implement that level of support before, during and/or after student mobility programs – can nevertheless get that from the Center for Global Education no matter what college, university, or country they are in, going to, or returning to.

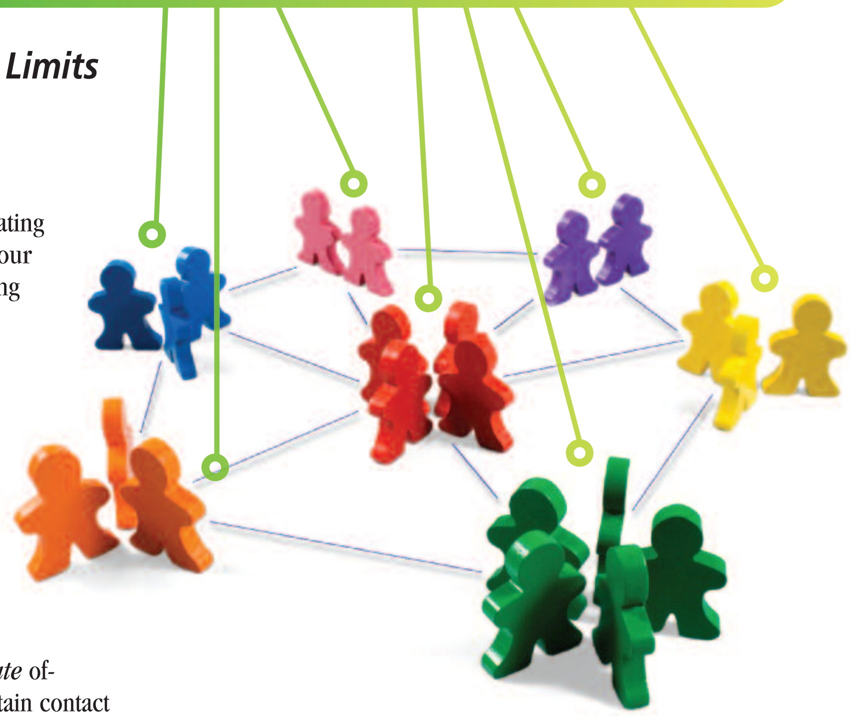
At another level, I believe international learning and student mobility have the potential to impact better relations around the world, and I'd like the Center to do more to intentionally integrate connections that make an impact on international relations and collaborations between countries, regions and people around the world. It is clear there have been many improvements through modernization in the 21st Century. However, as I look around the world it is clear there are still people without shelter, food, a basic education, and the freedom to develop in ways that maximize their potential. Continuing to work to expand international learning, cross-cultural collaborations, and student mobility programs all help sustain an important medium for making a difference locally, regionally, nationally and internationally. I hope to be able to continue to grow the Center and its collaborative efforts, and continue to make a positive difference through research, practice, and by connecting with students, faculty, and staff through the work of the Center for Global Education.

Dr. John M. Carfora *is Associate Vice President for Research Advancement and Compliance at Loyola Marymount University in Los Angeles, and co-author of* The Art of Funding and Implementing Ideas: A Guide to Proposal Development and Project Management *(Sage, 2011). John is a 2007 recipient of NCURA's* Distinguished Service Award.

COLLABORATE NCURA

Sharing and Connecting with No Limits

By Stephanie Moore



With social media being the new wave in communicating and sharing information, NCURA sought to expand our social platform and develop a professional networking community where members could *"Collaborate."*

Collaborate is our new secure professional networking site that will be launched in April/May 2012. *Collaborate* will allow NCURA members to connect and share resources real-time on an active platform. Members will be able to upload and download documents and videos that connect to their interest and professional development.

Collaborate Features

Just like other professional social platforms *Collaborate* offers a profile page where members can add and maintain contact information, professional bio and interests. Members will have the ability to change and control their own personal information and preferences. This feature is a great way for members to share their professional timeline and other social media profiles. The directory offers a good search tool which allows NCURA members to form new relationships and maintain existing relationships with peers and colleagues that share a comon interest.

The 3 C's: Collaborate Connecting Communities

Each NCURA Neighborhood will have a *Collaborate* connecting community that will allow members to communicate and exchange ideas. Each community will provide a discussion (egroup), listserv, blogs, event calendar and resource library function. The discussion groups (egroups) will allow NCURA members to create and post comments and blogs on a certain topic in a secure member-only environment. The email listserv is a great way for members to stay connected to trending topics and discussion items in real time. The resource library feature allows members to upload and download attachments, videos podcasts, photos, and presentations instantly. NCURA members will also have access to archived versions of files and attachments uploaded to the cloud.

Members will have the ability to create and communicate on trending blogs connected to communities.

The event calendar gives each community the ability to be the central view for all community events. Communities can host can promote information on their community calendar.

Collaborate's wiki glossary lets members view and define phrases and request definitions. The wiki glossary will be constantly updated and will expand quickly with members input.

Future Feature "Stay Connected" Mobile App

Collaborate connecting communities encompass mobile technology to enhance collaboration amongst members. This mobile app will allow you to access collaborate content on your mobile device. *Collaborate* works on multiple mobile devices such as iPhone, Blackberry and Android. *Collaborate* mobile app will provide the 3 C's features plus notifications and alerts.

NCURA's goal is to continue to serve members with resources to collaborate and connect. NCURA focuses on giving members new and functional ways to share information in the new professional social world.

Stay tuned to the new *Collaborate* NCURA coming soon!!!

Stephanie Moore *is NCURA's Community Curator overseeing Collaborate. She can be reached at* moore@ncura.edu

Only the Shadow (System) Knows

The Mysteries of Departmental Budgeting

By Randi Wasik

When we enter a career in research administration, the Beatles' song "Magical Mystery Tour" ought to be playing in the background, because our jobs are surely mystifying at times. As we all know, the world of research administration is filled with many "gray areas" and the response to most questions is "it depends." The baffling nature of our work is compounded by a dearth of electronic tools, especially at the departmental level, that can support not only basic budgeting needs, but the needs of sponsored research. Since we need all the help we can get working in such an environment, I'll take this opportunity to share my thoughts on department budgeting. For as business guru Peter Drucker said, "What you can measure you can manage."

First and foremost, we must remember that in this world of increasing complexity and reglation and decreasing budgets, we cannot make this journey alone. Successful teams involve the departmental administrator, the principal investigator (PI), central administration (pre- and post-award) and the sponsor. As Henry Ford stated, "Coming together is a beginning. Keeping together is progress. Staying together is success." The importance of teamwork became apparent to me early in my career when I had a faculty member insisting that the money was his, how he used it was none of my business, and that if he was overspent and overdue it was my fault. I'm sure many research administrators have had this experience and have relied on their colleagues to help them cope.

I have now been through a number of positions both centrally and departmentally at several institutions and have had a myriad of experiences, mostly good but a few bad. I have learned that most electronic budgeting systems are created to meet institutional needs first and departmental needs second. I do not have all the answers, but I do know there is nothing more important than good financial budgeting and management. It can not only keep you out of trouble, but protects your faculty and institution as well.

It has been my experience that the people who perform the research (our faculty) typically do not value or understand budgeting and financial management to the same extent that we who are charged with managing this effort do. Subsequently, it is research administrators who must take responsibility for securing the support, timeliness and accuracy of budgets, cost estimates and forecasting for our institutions. At the same time, we must enlist the faculty to help us review the activity and formulate the estimates. Working with faculty to accomplish this goal can be a challenge but is a skill that must be developed by research administrators.

In creating a budgeting tool, analyze your various funds, account structures, and sponsors, as well as to whom you must answer, where you can get information, and work flow – both from a time as well as a "paper" perspective. Know your audiences and consider keeping your model the same for everyone. Your budgeting tool should help you provide accurate information in a timely manner that is easy to read and understand, especially for your chair and faculty. Make sure the tool you develop can help you not only budget at the individual fund level, but also build your overall departmental budget, project future expenditures, track internal commitments and consolidate information from multiple sources/systems. I have found that incorporating the ability to model future budget scenarios is especially important, since this is where most electronic systems fail in the sponsored research realm. Always remember that whatever model you implement, it must follow our golden rules – **CONSISTENCY, ALLOWABILITY,** and **ALLOCABILITY**. You can also add **AUDITABILTY** to the list. To the extent your model impacts procedures and processes, make sure these impacts are documented.

My budgeting tool is a workbook in Excel. One sheet summarizes all faculty members' funds. The second sheet is a more detailed accounting of the funds; it lists the funding demographics (e.g., name, budget number, award number, sponsor, run dates, current and total periods) and displays by major category (e.g., salaries, fringes, equipment, F&A, etc.) the budget, current month activity, prior activity, period to date activity, balance, encumbrances and ending balance. I add information that ties the balances back to the enterprise system reports, calculate a run rate on expenses, and estimate the direct cost balance to spend. I have added a worksheet to track subawards and any other unique arrangements that might exist.

My shadow system is updated monthly. I and my staff use it to look for shifts in spending, to predict if a fund is going to over or under spend, and to budget for new applications. I send this information to each faculty member monthly with my thoughts and recommendations. I meet with them in person, via the phone, or chat via e-mail, but regardless there is a monthly dialogue. Whenever possible, I leave my office and meet with faculty members in their own space. I have found this practice creates a more dynamic and open venue for the exchange of information. I also have the PI sign the summary sheet and keep it on file. By establishing a monthly process involving both you and the faculty, your central offices know you are doing your due diligence in fund management and budgeting, which in turn I have found elicits positive support from them when needed.

In the grander scheme, these spreadsheets give me a platform from which I can easily jump into annual budget preparations for my institution, as well as budget preparations when sumitting faculty applications. This budgeting system allows me to know who is being charged where and at what level of salary. In addition, I am aware of how service center charges are allocated, how the funds are being spent, and what it takes to support the individual labs. I know how much the faculty have "saved" and when they are in danger of going into overdraft. One should always be conscious of the need to revise budgets as time progresses, and your budgeting tool should enable this task to be performed easily. A manager who operates the department as a small business requiring teamwork, communication and flexibility will succeed.

Reporting should allow you to have timely conversations with your faculty regarding how they are using their funds and with your central offices when questions arise about how the funds can be used or charges that have posted. Don't be afraid to use your central offices as leverage to help "protect" your faculty from overspending or inappropriate spending. Remind your faculty that they are stewards of funds and that audit-related fines are increasing. Any dialogue, as long as it is done professionally, is beneficial. And these budget tools give you a non-personal way of entering into such difficult conversations. When done well, using all the resources from within and outside your department – both in terms of systems and personnel – you can exceed the inherent limitations of the tools created by your institution's central offices to establish effective, collaborative budget management practices. N

Randi Wasik *is the Director of Administration and Finance for the Department of Urology at the University of Washington. She came to the University of Washington in September 2010 from Massachusetts. In 2010 she graduated from the NCURA LDI program and is currently active in NCURA not only teaching, but also on the committee for the upcoming Pre-Award Research Administration Conference in Vancouver. She has over fifteen years of experience in pre-award, post-award and departmental management. Currently she is responsible for all aspects of departmental management for a basic science/clinical focused department. She is also very active on several committees at the UW and teaches in the University's professional development program.*

NCURA ON CAMPUS

On Campus is an interview designed to give a more personal account of the day-to-day activities, issues, and obstacles in research administration. **On Campus** is an online resource that is archived and accessible to all members available in the NCURA Neighborhoods.

Siegfried Huemer
Head of EU Research Support
Vienna University of Technology
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1. Give us a brief overview of your professional career and how you ended up in your current position?

After my graduation as an Industrial Engineer from the Vienna University of Technology (TU Vienna) I started my career at the Austrian Research Centers Seibersdorf (now Austrian Institute of Technology (AIT)) in the field of Innovation Management and Diversification Cosultancy. Since the accession of Austria to the European Union there was a growing demand at the University Extension Centre for international research administrators and I took this opportunity for a change in my job. With the expansion of European funded research projects over the years, I built up a EU Research Management Unit from scratch in 2004. Since then I am an active member of the European Association of Research Managers and Administrators (EARMA).

2. What are your current responsibilities and what are the most challenging and/ or most rewarding aspect(s) of your current position?

Now as head of the renamed EU Research Support Unit of TU Vienna I am responsible for a consultancy team to facilitate European and international research collaborations by providing financial, legal and administrative information and advice about funding opportunities to the faculty members. The EU Research Support Unit acts as central service provider for the TU Vienna and informs and supports researchers, the university management and administrative staff with preparing and carrying out EU projects and other international research projects. There is a special focus on the 7th EU Framework Programme for Research and Technological Development (2007 – 2013). Furthermore, my duty is to participate in bodies beyond TU Vienna on current developments in EU Research Programmes (e.g., Austrian Working Group of University Research Funding, National Contact Points, European Forum of Research, etc.).

There are a lot of challenging aspects, first the seamless integration of pre and post award services and procedures; second, the development of policies and guidelines for European and international projects and last but not least, since application deadlines are often a very tough time it is important to keep a cool head when the heat is on.

But there are also some very rewarding aspects in my job: first, to be part of a community who contributes to the progress of research, expands knowledge and enhances comprehensive competencies; I enjoy networking with professional colleagues in EARMA and all over the world, for instance with the National Council of University Research Administrators (NCURA). And finally, it is rewarding to make things happen, get together and lead a team of experts for the benefit of the scientific community and beyond.

3. What are the key qualities required in/for your position?

I think a general knowledge and experience of administrative, legal and financial issues is a key prerequisite. Beyond this, to know how researchers really work, what are their needs, incentives and values. For international research administrators it is a must to have a good command of foreign languages preferably English and to have good communication skills. Specifically, for head of a research support unit the following abilities are critical: supporting interdisciplinary teamwork and leadership; mediation between different people, and interests; and awareness of cultural differences.

4. What are the similarities and differences of administering domestic and international program?

To start with the similarities I would mention both are based on competitive calls, the accountability of sponsored research projects and the university has to follow the rules of the funding agencies. International programs often include non native speaking principal investigators and administrative staff of different nationalities. The beneficiaries have to obey different national accounting systems and different legal framework (IPR, applicable law, etc.). Often international projects involve much more partnering and the budgets are larger, often up to several millions of dollars. In conclusion, international programs have much more complex funding schemes compared to domestic programs.

5. What do you see are the upcoming challenges in the international research administration over the next 5 years?

We are faced with a decrease of public funding for university research, on the other hand more competitive sponsored research programs and more international funding schemes. Therefore the demand of professional research managers and administrators will grow. Research administrators will have to enter the global playing field beyond the national borders.

In Europe and especially in Austria the challenge will be the smooth transition from the 7th Research Framework Programme FP7 (2007 2013) to the follow up programme for Rsearch and Innovation called "Horizon 2020" (2014 – 2020). It consists of three pillars with a total budget of about 80 billion Euro: 1) Excellent Science, 2) Industrial Leadership and 3) Societal challenges. The great challenges and hopes are with excellent science and competitive industries to create benefit for a better society.

6. You recently became member of NCURA International Neighborhood Subcomittee. What is your goal to the next year?

I m very honoured and delighted to have been invited to NCURA International Neighborhood

Subcommittee. My goal is to join the international network and community of research administrators, to exchange ideas and best practice for the professional development of research managers and administrators.

It will be a boost in preparing of the EARMA Conference 2013 in Vienna. I cordially invite you and all NCURA representatives to this outstanding event at the Vienna University of Technology.

Cynthia Hope
Assistant Vice President for Research and Director, Office for Sponsored Programs
University of Alabama
chope@fa.ua.edu

1. How did you come to be a financial research administrator? How did you fall into this as a career?

My first degree was in Psychology (because I had no clue as to what to do with myself) but I was lucky enough to get a job with The University of Alabama (UA) Admissions office when I graduated. I never did figure out what I should do with myself but I discovered that people who earned Accounting degrees were rewarded with REAL jobs upon graduation. As promised, upon my second graduation, I got a job with what was then a Big 6 accounting firm. The office was in Birmingham but I never managed to move from Tuscaloosa so I requested as many Tuscaloosa clients as possible, including UA. After putting in my time for CPA purposes and having my first daughter, I took a less travel and time intensive Indirect Cost Specialist job at UAB. From there, I continued to accept responsibility for things I wasn't actually qualified to do but I apparently came across as trainable and adaptable (or everyone else took a step back when they asked volunteers to step forward).

2. Did you have a mentor to aid you in advancing your career?

I did pretty well despite being mostly aimless for my first few years in research administration but things really came together for me when I was lucky enough to meet my first great mentor, Dr. Marianne Woods. Once she introduced me to all

I could and should be doing and to most of the other wonderful leaders in Research Administration, on whom I now depend, I almost felt like I had no choice but to succeed.

3. What piece of advice have you stumbled upon along your way that has been most helpful?

I remember learning in a child psychology class that children learn very little from what their parents tell them but, instead, learn by modeling their parents' behavior (yeah, as a parent that is pretty scary). I'm not sure that changes very much once people become adults. I've accumulated a lot of facts and ideas from listening to great teachers/presenters but the most helpful "advice" has come to me from observing successful administrators.

4. You have been active in training future financial research administrators via NCURA workshops ~ has this translated into training programs for your institution's researchers, administrators and accountants?

The training activities at UA have been heavily influenced by NCURA programming. Most everyone knows that a great way to really learn about a topic is to teach it but, I have to give my co-presenters throughout the years most of the credit for the improvements in my personal teaching style. UA is fortunate to have many individuals who share their abilities with NCURA through presenting and/or other volunteer activities and UA more than gets back what it gives, as I hope do all of the individuals.

5. What qualities do you find most important in a financial research administrator?

Although "research administrator" covers a broad range of job descriptions, I do think there are some traits that are beneficial (actually critical) to anyone working in any area within the profession. I just finished reading David Brooks' "The Social Animal" and in it he discusses research that strongly indicates that the most successful people aren't necessarily those who have the highest IQs. It is more important to understand the connections that link people and to have developed successful models for how to interrelate with other people. On the other hand, our profession's environment is too complex for intelligence not to be a valuable asset; it just doesn't work as a stand-alone. As one develops in this profession, developing the ability to find the right balance between open-mindedness and decisiveness, attention to detail and efficiency, etc. is vital and this ability seems to require both a natural instinct and a lot of experience. Then, a successful research administrator has to take all of that and adapt readily because between the federal government, our other sponsors and our own institutions, there is continuously something changing.

6. How has your NCURA membership and volunteerism benefited both you and your institution? What have been the most rewarding benefits?

Excellent professional development opportunities are the hallmark of NCURA and I, and UA, have benefited from what I've learned over the years, particularly what I've had to learn in order to become comfortable enough to present and what I've learned from my co-presenters and attendees. But, the relationships I've developed have been even more valuable. I feel really fortunate to have become friends with so many incredibly intelligent, hard-working, and yet still interesting, people.

7. What issues in financial research administration keep you up at night, and what resolutions help you get back to sleep?

No one issue is that disturbing. The combination of all the issues is that disturbing. The reductionist approach to measuring compliance and accountability taken by our sponsors and our auditors is making our jobs almost impossible. It's much like our schools teaching to the test. I know how to pass a test and an audit but do I actually know anything about the substance those are supposed to be measuring? Don't bother answering that because I only have time to get ready for the next audit. What gets me back to sleep? Good friends (see above) and good wine, preferably together.

8. What advice would you give to help administrators convey the importance of post-award compliance to PIs?

It depends a lot on the culture at your institution but you somehow have to get across that you are actually trying to help, including protect, them. The tone-at-the-top is incredibly important. You also have to remember that the bad apples are pretty rare and most of the PIs who seem to have difficulty with financial compliance are just trying to do what seems logical. They don't know that logic rarely has any influence on the rule-making process. If you can convince them that they need your help and then make communicating with you a positive experience, you've won. If that doesn't work, memorize the False Claims Act and subtly slip quotes from it into every conversation, email, etc. (but don't tell my boss I said that!)

9. Lastly, what advice would you give to a "rookie" in the financial research administration field, and also, how would you advise a battle-weary veteran?

To the "rookie" I'd say, be patient. All of this stuff does eventually start to come together and make sense. It IS a lot and there are high expectations but there is support and there are resources and, while there will always be new challenges, overall it does get easier. I don't feel qualified to provide direct advice to our "veterans" but I'd encourage anyone to develop an understanding of your role in the big picture and of the interrelatedness of your role with the roles of others. The better you get at this, the more likely you are to find aspects of your work that are rewarding, which will encourage you to do an even better job, which you will then find even more rewarding.

A Year of Transition:

A PUI Making Its Research Foundation Fully Operational

By Carolyn Elliott-Farino

The past 13 months has been a period of tremendous growth at Kennesaw State University Research and Service Foundation (KSURSF). KSURSF, incorporated in 2005, is a 501 (c) (3) type 1 supporting organization under IRS code 509 (a) (3) that is "operated, supervised, or controlled by" Kennesaw State University (KSU).

KSU is a member of the University System of Georgia, which is governed by a board of regents; thus, the university is bound by State of Georgia rules. The institution was founded in 1963 as a two year commuter college serving 1,000 students and grew gradually, becoming a four year college in 1976 and a comprehensive university in 1996. KSU now has a student body of over 24,000 students; approximately 10% of these are graduate students enrolled in master's, EdD, and, as of fall 2010, PhD programs. While there has been an increased focus on research and scholarly activity, the university is still predominantly undergraduate and remains committed to teaching and educating undergraduate students.

The university decided to establish a research foundation to create more opportunities for its faculty in the research arena. As a state university, KSU is precluded from accepting some terms and conditions routinely included in grants and contracts; as a separate entity not governed by state rules, KSURSF is often able to accept these terms and conditions if they do not pose undue risk to the foundation. In addition, some sponsors will only make grants to 501 (c) (3) organizations; consequently, the incorporation of KSURSF has allowed faculty to obtain funding from such sponsors.

The university has a number of centers and institutes that conduct evaluations and surveys and provide other services for a wide range of entities, including many states and municipalities outside of Georgia. These services are provided for a fixed fee, and contractual language allows KSURSF to keep any residual funds once deliverables have been met. Under state rules, the university would not be allowed to carry forward these residual funds beyond the fiscal year in which the project ends. Having the ability to accumulate funds for strategic spending on promoting research and creative activity is far preferable to having to spend the funds quickly or lose them.

Similarly, the ability to retain a portion of the indirects in the research foundation supports the research enterprise. Georgia law currently allows universities to carry forward indirects from one fiscal year to the next, but the law is set to expire on June 30, 2013, unless the legislature extends it. "Revenue collected by any or all institutions in the university system from tuition, departmental sales or services, continuing education fees, technology fees, or indirect cost recoveries shall not lapse. The amount of revenue from tuition that shall not lapse under this Code section shall not exceed 3 percent of the tuition collected. This Code section shall stand repealed on June 30, 2013." (OCGA, 2011). Should this law not be extended, indirects currently held by the university would lapse back to the general fund and would not be available to support the growth of research programs.

Once the research and service foundation was incorporated and had received its IRS 501 (c)(3) designation, there were some logistical issues to address before the foundation could start accepting awards. Only a handful of awards were processed through KSURSF from 2007 until early 2010, at which time the foundation hired a part-time accountant and began to handle non-federal/non-state service contracts on behalf of KSU centers and institutes. Throughout 2010 the foundation managed an increasing number of accounts, and by January 2011 the accountant stepped up to full-time. Many proposals and awards were still in the name of KSU, but by this time KSURSF had become truly functional and was the applicant and recipient for most private awards.

In mid-2010 the university started corresponding with the National Science Foundation (NSF) and the National Institutes of Health (NIH) about transferring grants from KSU to KSURSF. It took several months of correspondence with NSF, but eventually the agency issued a novation agreement that transferred all the active NSF grants from KSU to KSURSF. The effective date for the transfer was April 1, 2011, the start of an ARRA reporting period, so that projects would not have to be reported for both entities in the same quarter.

Contrary to NSF, NIH does not have a standard process for transferring grants from a university to a research foundation. Every situation is different, and NIH takes each one on a case by case basis. The NIH Grants Policy Statement states: "There are times when an institution desires to use a Foundation or other similar organization to provide administrative services for NIH grants. These situations are often complex and each situation is unique when determining which organization is the appropriate applicant institution. Foundations, particularly those associated with institutions already recognized as NIH grantee organizations, should contact DGP, OPERA before attempting to separately register as an applicant organization" (NIH Grants Policy Statement, 2011).

Ultimately, NIH chose not to transfer any of the active grants. New awards are issued in the name of KSU because it is the responsible organization, but KSURSF's EIN (employer identification number) is tied to KSU's PIN (payment identification number), with the result being that grants are in the name of KSU but payments are made to KSURSF.

In addition to research grants and fixed price contracts where payment is determined by meeting set deliverables, the foundation houses a number of accounts for faculty that support their departments through book royalties, program income, and consulting. Any "proceeds" (residual funds) benefit the department and the funds are able to be carried forward across fiscal years, eventually to be used to promote and support research programs.

KSURSF has now become a full-service operation and is about to hire a second accountant. While the bulk of funds received are passed through to the university through subawards and a master MOU, due to its agility and ability to act quickly, the foundation handles some transactions directly because the university is not so nimble. In one case a PI received funding at the beginning of the month for archeological work to be completed later that month in Central America. He needed to make some technology purchases for the trip but the short time between the funding notification and his departure was not enough for the university's procurement team to comply with state purchasing regulations and make the needed purchase. KSURSF was able to procure the items. In another case a PI's laptop died and he was in the midst of writing a grant proposal. He wanted to use his indirects to purchase an inexpensive laptop so he could complete his work, but the university has a set list of approved laptops that were all considerably more powerful than what the PI needed, and cost more money than he wanted to spend. Again, KSURSF was able to make the purchase.

Once the second accountant has been hired and trained, the transition period will be complete. The past year has been trying and stressful, yet at the same exciting and full of promise. KSU faculty and administration are pleased with the flexibility KSURSF offers, as well as the potential it has to further research and creative activity at KSU.

Carolyn Elliott-Farino *has a master's degree in international affairs with a focus on African studies and is the director of contracting and grants administration in Kennesaw State University's Office of Research. She has been a research administrator since 2004 when she joined KSU after many years in Africa as a Peace Corps volunteer and a foreign aid worker. Carolyn is a graduate of NCURA's Leadership Development Institute and is a Certified Research Administrator.*

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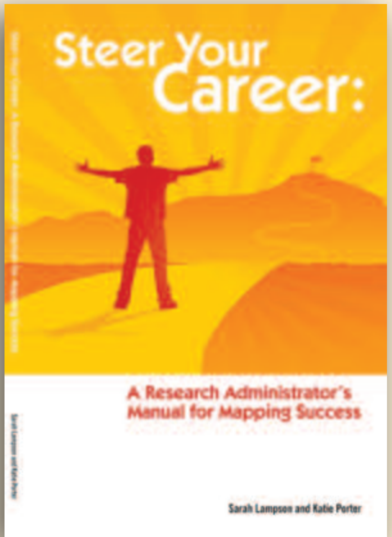


A book review by Andre Walker

Steer Your Career: A Research Administrator's Manual for Mapping Success

Sarah Lampson & Katie Porter

There can be no doubt that Research Administration continues to mature into a full-fledged profession. Roles and job descriptions have become more standardized. Credentials (such as the Certified Research Administrator certification) have grown in importance, and opportunities for graduate study and management training (such as the NCURA Leadership Development Institute) have increased. Despite this progress, our field is still full of jobs of varying titles and content and with murky career paths. Gaining entry to the field is likely a mystery to outsiders, if the field is on their radar at all. Similarly, the steps to career advancement are unclear to many insiders. Into this mix, Sarah Lampson and Katie Porter offer a guide, *Steer Your Career: A Research Administrator's Manual for Mapping Success.* The authors are no strangers to *NCURA Magazine*, having contributed two articles within the past year. At 103 pages, their slim volume aims for a lofty goal: to provide career guidance to the broad and varied world of Research Administration.

In thirteen chapters, plus bibliography and references, the authors attempt to distill their combined twenty-five years of Research Administration experience into a useful tool for the new and the experienced administrator alike. They take an expansive view of Research Administration covering roles from grant writing to grant administration to financial administration to development to information technology to technology transfer; from pre-award to post-award; from central office to department. The chapters are organized to follow the stages of a career: entrant/early career, mid-career, and senior/late career.

The early chapters of the book provide an introduction to the field of Research Administration. Like many entrants to the profession, this reviewer had no prior knowledge of the field before joining an investigator's lab. Lampson and Porter recognize this reality and provide an overview of the administrator's role and the major functions of a Research Administration office. They also provide tips on conducting a job search. For example, in Chapter 2 they cover the basics including creating a skills inventory and profiling your institution. They also include a section on "persistence" that recognizes the difficulty of the current job market and provides encouraging examples of success. Here and throughout the book, the authors make effective use of first-person testimonials to add context and texture to their advice. Many readers will identify with the real-world stories. The authors go on to discuss resume building in Chapter 8 and job applications and interviews in Chapter 9.

Beginning in Chapter 10, Lampson and Porter turn to a discussion of mid-career issues. Their target audience is the experienced administrator who may hold a supervisory position, and they provide advice on improving work processes and maintaining employee morale. They go on to focus on recruiting in Chapter 11 and on training and retaining staff in Chapter 12. The authors devote the final Chapter 13 to senior/late-career administrators, and they offer guidance on building office effectiveness. They round out the text with appendices providing goal-setting templates, sample resumes and cover letters, sample job postings, and sample interview questions They also include a bibliography and a resources section with internet links to various organizations.

Though it is a laudable effort, this book has a major limitation: its brevity. Research Administration is too broad and diverse a field to tackle in a book of this length. There are too many roles, institutional settings, and career stages to cover, and this limits the depth and focus of the material presented. The authors apparently recognize this shortcoming, as they offer a workshop series with sessions tailored specifically for early-, middle-, and late-career administrators based on the advice outlined in the book.

In their introduction, Lampson and Porter welcome suggestions for future editions. In this reviewer's opinion, it would be useful to include more workshop-style exercises. For example, following the style of other career guides, they might provide tasks in each section to guide the reader to produce his/her own resume, cover letter, organization profile, and job prospect list. That way, after finishing the book, the reader will have a portfolio of materials from which to form a career plan and conduct a job search. It would also use useful to include sample organization diagrams and flowcharts depicting the range of common office structures in a university or research institution. Such charts would illustrate the variety of Research Administration positions to be found within an institution, and they would highlight the interdependence of the Sponsored Programs Office with academic departments and other functional offices.

Despite its shortcomings, this book is a sorely needed resource. If Research Administration is to become a first-choice career, rather than a convenient job, it must present would-be entrants and working administrators with clear career paths and development opportunities. This book is a great first step. The authors are committed to helping individuals enter the field and to assisting incumbent administrators move up in their organizations. They have enthusiastically written on these topics here and in past articles, and we should look forward to their future work.

Andre Walker, *MBA, CRA is a Grants and Contracts Manager at The University of Chicago. He currently serves on the NCURA Pre-Award Neighborhood Committee, and he was recently named the Contributing Editor for Biomed for* NCURA Magazine.

NCURA REGIONAL CORNER

REGION I
New England

www.ncuraregion1.org

https://www.facebook.com/pages/Ncura-Region-1/147298255332317

I would like to welcome our new Region I Officers for FY 2012: Karen Woodward Massey from Harvard is Chair-Elect, Donna Smith from Massachusetts General Hospital is Treasurer-Elect, and Kris Monahan from Providence College is our Region I elected member to the NCURA Board of Directors. These officers, along with Treasurer Carlo Eracleo, from Massachusetts General Hospital, and Secretary Estelle Lang from Brown University, constitute an exceptional Region I leadership team. It is my great pleasure to work with these officers to serve our Region I membership and I'm pleased to report that we are off to a running start and 2012 promises to be an exciting year for our Region.

On January 31st we held our first educational offering of the year, the "Essentials of Sponsored Research," with sixty-five participants attending this informative workshop. Our excellent presenters for this session were Sarah Clabby from Northeastern University, Eileen Nielsen from Harvard, and Gary Smith from Massachusetts General Hospital.

The first "Research Administrators Discussion Group" (RADG) of the year took place on March 13th at the Boston Commons Conference Center (formerly the John Hancock Center). The topic for this RADG meeting was "Managing Risk…Managing Expectations….Managing International Projects" and the presenters were Jennifer Donais (UMASS Amherst), Connie Galanis (consultant and formerly of Harvard School of Public Health), and Norman Hebert (Brown University). The RADG meetings are planned by Barbara Richard from Baystate Medical Center, who serves as the new Co-Chair of the Region I Curriculum Committee, along with Roseann Luongo of Harvard. Barbara has done an exceptional job of planning the RADG meetings the past two years and we appreciate the enormous contribution she has made to our Region I programming. Also, please save the dates for the remaining RADG meetings of 2012: June 20th, September 26th, and December 11th.

Preparations are well underway for the Region I Spring Meeting, which will be held from May 6-9, 2012 in beautiful Newport, Rhode Island. Karen Woodward Massey and her meeting Co-Chairs, Michelle Auerbach from Suffolk University and Kris Monahan from Providence College, have been hard at work since November planning this meeting. By the end of January the Program Committee had developed the framework for the meeting and had identified many of the sessions and workshops that will be offered. The meeting tracks will be: Compliance, Federal, Hospital, Human Capital, Pre-Award, Post-Award, and PUI. In keeping with the nautical setting of Newport, the theme of the meeting will be "Steering a Course for Success." I commend the Co-Chairs and the Program Committee for the substantial progress they have made and I look forward to attending what I know will be an exceptional meeting.

One of my top priorities for Region I the coming year will be for Region I leadership to reach out to members and institutions that are outside the greater Boston area. We will strive to have more members from Vermont, Maine, New Hampshire, and Connecticut become involved in our volunteer activities. And we will look for opportunities to take our workshops "on the road" in order to make these programs more accessible to members who cannot easily take advantage of the sessions offered in Boston. If you have ideas on how we can foster greater participation in Region I activities please feel free to contact me or any of the other Region I Officers.

Finally, I would like to acknowledge the following new 2012 Chairs for our Region I committees. In addition to Roseann Luongo and Barbara Richard, who Co-Chair the Curriculum Committee, John Harris from Northeastern University is Chair of the Awards and Recognition Committee, Susan Zipkin from Brigham and Women's Hospital is Chair of the Nominating Committee, and Michelle Auerbach from Suffolk College is Chair of the Volunteer and Membership Committee (VMC). I also want to thank Nuala McGowan from Harvard University for agreeing to serve another year as Chair of the Sponsorship Committee and Estelle Lang from Brown University, who is our Region I webmaster and is the Secretary for the Region. Region I is blessed to these dedicated and talented members who are willing to volunteer their time to lead these important committees. Please thank them for committing their time to serving our members.

Pat Fitzgerald *is the Chair of Region I and serves as the Associate Dean for Research Administration for the Faculty of Arts and Sciences (FAS), Harvard University*

REGION II
Mid-Atlantic

www.ncuraregionii.org

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

As I sit here and ponder how to begin my first regional article as Chair, I can't help but get excited about all the new plans we have in store for 2012. First, I would like to thank last year's officers *Martin Williams*, William Paterson University (Chair), *Anne Albinak*, The Johns Hopkins University (Secretary) and *Mary Holleran*, West Virginia University (Treasurer) for all their diligent efforts in making 2011 a successful and productive year. I would also like to welcome our region's newly appointed officers *Magui Cardona*, University of Baltimore (Secretary), *Erin Bailey*, University at Buffalo (Treasurer) and offer congratulations to our newly elected Chair-elect, *Brian Squilla,* Jefferson Medical College, and Treasurer-elect, *Gregory Slack,* Clarkson University.

During the course of 2011, we have been planning, reorganizing, amending and updating many aspects of our region to increase professional development opportunities, social networking, visibility and volunteer activities. 2012 is the year to implement many of these plans. One of the new ventures that we have been preparing for is the first Region II One Day Traveling Workshop. This year's workshop is entitled, "Hot Topics in Research Compliance". Our new standing committee for Professional Development is currently evaluating the worshop, which was held on February 17th at the University of Maryland, Baltimore. Our short term goal is to conduct three of these workshops in different locations throughout the year so that it can accommodate easy travel for anyone within the region interested in attending. The One Day Traveling Workshop is in its pilot year, but it has already proved to be a very promising endeavor, as the turnout for the first of the three workshops exceeded expectations.

Now onto our 2012 regional spring meeting in Gettysburg, PA April, 22-25th. One big change this year is we are increasing the duration of our meeting by one full day. The meeting will be two and one half days long, with the option of Sunday workshops prior to the start of the meeting on April 22nd. In addition, we have partnered with the Research Administrators Certification Council, to offer a CRA training session at the same hotel April 21. Since this is the first year we have implemented the longer meeting schedule, our spring program committee has been very busy putting together a fantastic program. Our theme "Marching through Time: The Ever-Evolving World of Research Administration" hits the nail right on the head in assessing the current climate in our field. This meeting will be held at the Eisenhower Hotel and Conference Center http://www.eisenhower.com just south of historic Gettysburg, Pennsylvania. Please visit our region's website http://www.ncuraregionii.org/spring-meeting for program and registration information. Remember to register early so you do not miss out on the early registration discounts. We are really excited about the additional day, as this year's program is fully-loaded with an array of quality sessions, incredible workshops and many, many socializing and networking events. I am getting excited writing about it! You do not want to miss it; so on that note, I can't wait to see you in Gettysburg!

Jared Littman *is Chair of Region II and serves as the Director of the Office of Grants and Sponsored Research, at St. John's University.*

REGION III Southeast

www.ncuraregioniii.com

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

In a few words of her own, Cindy Hope is pleased to remind us all that the Spring Meeting is just around the corner.

Register now for the Region III Spring Meeting, May 6-9, 2012, at the Wyndham Bay Point Resort in beautiful Panama City Beach, Florida! Please visit our Region's website, www.ncuraregioniii.com, for conference and workshop registration, hotel reservations and program information. The easiest way to make your reservation with the Wyndham at our group rate is through the Wyndham's special webpage for our meeting. Visit http://www.wyndham.com/groupevents2012/ecpwr_ncura/main.wnt (also found on the Region III website).

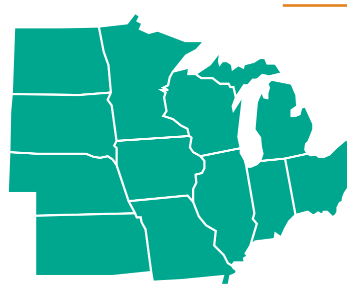
Why attend the Region III meeting? Of course our location is excellent and our networking and social opportunities will be second to none but, based on your feedback, our program committee has put a renewed emphasis on providing the best educational offerings available by focusing on **Knowledge, KnowHow and KnowWho**!

- **Knowledge —** This year you will be able to choose from even more sessions, including more intermediate and advanced topics! Borrowing for election year politics, we will appeal to our base while also connecting to our colleagues with special interests.
- **KnowHow —** Our presenters have heard your call for more resources, tools and best practices. You can expect these to be shared in our concurrent sessions and also, at your request, as part of at least 16 discussion groups and/or open forums!
- **KnowWho —** When Knowledge and KnowHow fail, rely on KnowWho. KnowWho is knowing who to call because you know the experts. How do you KnowWho? You meet them at your Region III Spring meeting in Panama City Beach!

Don't wait! Take advantage of our early bird registration discount and our group rate with the Wyndham and **book by April 13, 2012**.

This must be a fix! Jennifer Shambrook, PhD, Editor of *Research Management Review* and Dhanonjoy C. Saha, PhD, Editorial Board Member, shared the 2011 Best Poster Award at the Annual Meeting for the Society of Research Administrators held in October in Montreal, Canada. What a coincidence.

Dhanonjoy C. Saha, Ph.D. *and* **Bill Lambert** *serve as Region III's regional corner contributors. Dr. Saha is Assistant V.P. of Research Administration & Operations at Carolinas Medical Center. Bill is the Assistant Dean for Research Administration at Emory University.*



REGION IV Mid-America

www.ncuraregioniv.com

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

Time flies! 2012 has arrived and appears to be moving as quickly as 2011 and 2010 did!

Region IV has also been moving very quickly! Thanks to our Website Task Force, we have a brand new website! Please visit us at: http://www.ncuraregioniv.com/ . I want to give a special thanks to the folks who worked tremendously hard to make this happen. They are: Kirsten Yehl (Web Site Task Force Leader), Sue Kelch, Natalie Goodwin-Frank, Patience Graybill, Amy Kitzman and Michelle Schoenecker. Thank you all very much! Not only do we have a new website, we also have a new host. We've switched from GoDaddy to FatCow – isn't this more appropriate?! Moooooo!!

The Region has been working on some other exciting initiatives, as well. You may have seen email blasts about these: 2014 Spring Meeting Site Selection, 2012 Regional Awards, 2012 Regional Nominations and 2012 Joint Spring Meeting.

If anyone is looking for the Region to provide anything specific in terms of professional development, please don't hesitate to contact me or any of the Region IV Board members. For me, the 2011 Regional Meeting and 2011 Annual Meeting reminded me that this research administration "gig" is not just a job. There are many people who are working on their craft. They are working on their profession! It's often at the various NCURA meetings where professional relationships are established that help someone, like me, develop within the profession. We do have some committee positions to help us this year. They are:

- Awards Committee Chair: Elena Cruse, University of Kansas Medical Center
- Communications Chair: Sue Kelch, University of Michigan
- Membership Committee Chair: Sheila Lischwe, Saint Louis University
- Nominations Committee Chair: Christa Johnson, Washington University
- Site Selection Chair: Michelle Ginavan-Hayes, University of Kansas Center for Research
- Site Selection Member: Natalie Goodwin-Frank, Washington University
- Volunteer Coordinator: Debbie Meltzer, University of Wisconsin-Madison

Looking forward, mark your calendars: The 2012 Joint Spring Meeting in St. Louis will be on April 14, 2012 – April 18, 2012. More information can be found at: **http://www.ncuraregioniv.com/conferences.html** . The St. Louis Ballpark Hilton is the conference hotel. This is a great venue and I know Jeff Ritchie (Program Committee Chair, Region Chair-Elect) is putting together a great program. He's joined by two great Program Co-Chairs: Greg Luttrell (Notre Dame University) and Kirsten Yehl (Northwestern University). Anyone who wishes to help with the Spring Meeting can contact Jeff at **jeffrey_ritchie@yahoo.com.**

Last, but not least, a special congratulations goes to Beth Seaton (Northwestern University) on her recent appointment to the Nominating and Leadership Development Committee beginning January 1, 2012 and to Dave Lynch (Mayo Clinic) as Regionally Elected Member to the National Board of Directors (Dave has served previously on the N&LDC).

David Ngo *is the Chair of Region IV and serves as Managing Officer at the University of Wisconsin-Madison.*

REGION V
Southwestern

www.ncuraregionv.com

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

As this will be the last article I write as Region V Chair, I would like to thank everyone that helped me in this role, especially to the current and prior members of the executive committee and those that have graciously volunteered their time to help the region, participate on our committees, and at our NCURA meetings.

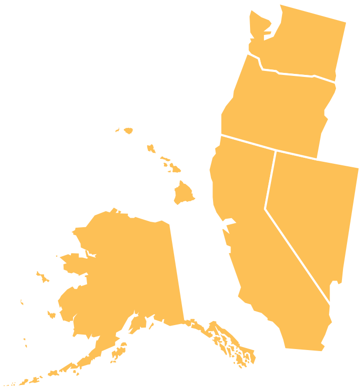
I want to update everyone that in March, myself and Region V members from our Oklahoma universities will have visited the hotels in Oklahoma City for the Regional 2013 meeting. We hope to have the contract completed, dates set and announcements made by the April regional meeting in St. Louis.

We are looking forward to our meeting with Region IV April 15-18 at the Hilton St. Louis Ballpark. The traditional Sunday evening reception will be held in the hotel's new roof-top lounge with views of Busch Stadium and the Arch. On Monday morning, Dr. James DuBois, Director of the Bander Center for Medical Business Ethics at Saint Louis University, will deliver the keynote address "Understanding and Responding to Wrongdoing in Research." In his address Dr. DuBois will share data from a recent R21 grant that studied 70 cases of wrongdoing in research as well as the evidence behind an NIH-funded training program being developed by the Bander Center to provide remediation training for investigators caught breaking the rules for responsible research.

The slate of Sunday workshops is especially strong with a full day of pre-award basics, a free workshop on effective presentations and other half-day workshops on proposal writing, compliance issues, contract negotiation, export controls and senior management issues. Sessions presented over the two and a half days of the meeting are organized into six tracks—pre-award, financial, medical, compliance, predominantly undergraduate and special interests.

Don't miss our regional business meeting at the spring meeting. We will have updates on the Professional Development Committee, the site of the 2014 meeting and other important announcements.

Jeremy Forsberg *is the Chair of Region V and serves as the Assistant Vice President for Research at the University of Texas at Arlington.*



REGION VI
Western

www.ogrd.wsu.edu/r6ncura

"Unity is strength… when there is teamwork and collaboration, wonderful things can be achieved." – Mattie Stepanek

As I begin my year as Chair, I am enthusiastic to see how many of our members have stepped forward to work together to continue the success of our Region. In addition, the amazing collaboration with Region VII leadership (Vicki Krell, Chair) to make our upcoming meeting as seamless as possible has been great. With the Regions VI/VII Spring Meeting fast approaching, please mark your calendars and make plans to attend our Regional Spring Meeing in Waikoloa, Hawaii from April 15th - 18th 2012. The theme of our meeting is *"Discover the Difference: Creating Connections Together"*. The meeting will be held at the Hilton Waikoloa Village. Registration is still OPEN!

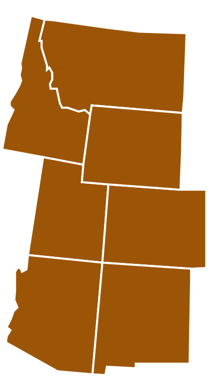
The program committee has put together a great program with seven workshops and over 50 concurrent sessions over the course of 4 days. Details of the meeting including registration, travel awards etc… can be found on our website **http://www.ogrd.wsu.edu/r6ncura/.** The meeting promises to be engaging, informative and exciting.

The keynote address will feature Maenette K.P. Benham, Dean of the Hawai'inuiakea School of Hawaiian Knowledge, University of Hawai'i at Manoa. Her presentations use story to invite audience members to reflect on their own cultural/lineage stories, to think deeply about their passions and dreams, and to consider re-imagining a collective, inclusive work environment.

Lastly, don't forget to volunteer. Serving as a volunteer is a great way to meet people and get involved in NCURA. There are many roles and everyone's contributions are appreciated. If you would like to find out additional information regarding volunteer opportunities, please contract Melissa Mullen, Region VI Volunteer and Membership Volunteer Chair at **mrmullen@calpoly.edu.**

Mahalo and see you in Kona!

Rosemary Madnick *is the Chair of Region VI and serves as the Assistant Vice President, Research Administration, at the Los Angeles Biomedical Research Institute.*



REGION VII
Rocky Mountain

ncuraregionvii.asu.edu

I still remember my first NCURA meeting – it was amazing to look around at everyone listening to the keynote speaker and think, all of these people know what I do. All of these people do what I do. They work with faculty, have deadline induced stress, have both non-compliant PIs and great ones, and, unlike when I try to describe my job to my family and friends ("So, you work in financial aid, then?"), I don't have to try to explain to them what I mean when I say I work with grants. I had found my place.

NCURA has had such a huge and positive impact on both my professional and personal life over the last 15-20 years. Having served as a presenter, a volunteer, and on several program committees, I am excited to pick up the reins of the Chair of Region VII from Tim Edwards. Tim has been a tremendous friend, mentor, and guide, especially over the past year as I began to navigate my new duties and responsibilities. I want to take this opportunity to thank Tim and Christine Pacheco, the exiting Secretary/Treasurer, for all of their hard work, enthusiasm and good humor, as well as for the assistance, patience, and support that they continue to give freely any time they are asked.

I'd also like to offer another big thanks to Kimberly Page for the excellent job she's done over the past two years as Member at Large. I'd like to welcome to the board Chair-Elect Tony Onofrietti, Secretary/Treasurer Lisa Jordan, Kay Ellis as our newest Member at Large (Kay will be working closely with Candyce Lindsay, who is serving her second year) and the new Volunteer Coordinator for Region VII, Sandra Logue. Please familiarize yourself with our new officers by going out to the Region VII website at **http://ncuraregionvii.asu.edu/**. I know we're going to have a full, productive, fun year.

Speaking of fun, our spring meeting with Region VI is coming along wonderfully. For anyone who isn't aware, the meeting will be in held at the Hilton Waikoloa Village, in Waikoloa, Hawaii, and we are finalizing a marvelous and comprehensive program. Registration is off to a great start and we look forward to seeing you there. Even if you are unable to attend the meeting, there are so many volunteer opportunities available – please check our volunteers tab on the regional site. Alternatively, you can talk to me, to Lisa or to Sandra, and I know we'll find lots for you to do. Rosemary Madnick, the Chair of Region VI, is my phenomenal co-chair for the meeting – it has been an absolute pleasure to work on this conference with her. Thanks, Rosie! More information can be found here: **http://ncuraregionvii.asu.edu/meetings**

One of my plans for the upcoming year is to build a mentoring program for our new members. For those of us who have had mentors in the past, think about how valuable that reltionship has been for you, and how rewarding for your mentor. And for those of us who haven't, wouldn't it have been great to have someone to bounce questions or ideas off of, call or e-mail with a question that we don't want to ask our boss, share a success, meet at a conference, brainstorm a solution and discuss a problem with? We would love as many members as possible, both experienced and new, to build and participate in this program. Please contact me, Lisa, Sandra, Candyce or Kay with suggestions, ideas, or to volunteer your time.

Aloha!

Vicki Krell *is the Chair of Region VII and serves as the Research Advancement Supervisor in the College of Liberal Arts and Sciences Dean's Office Research Advancement Office at Arizona State University.*

Promoting Objectivity in Research: The Faculty Perspective

NATIONAL COUNCIL OF UNIVERSITY RESEARCH ADMINISTRATORS

Established 1959

NCURA

NCURA is pleased to offer this timely DVD Workshop.

The workshop was developed to help you and your faculty comply with the recently released financial conflict of interest regulations. The workshop is targeted to:

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- ✔ **Post-doctoral researchers and later stage graduate students**
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- ✔ **University business development officers, incubator professionals, and corporate relations staff**

The program is broken in four brief modules:

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Facilities Use
- Use of Facilities
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Conflict of Commitment
- Multiple Demands on Time
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- Effort Reporting

The DVD includes a workshop guide with supplemental resources. Institutions are granted an exclusive license to use this workshop for on campus education including posting the modules to your secure website.

Presenters: **David Richardson,** Associate Vice President for Research, Pennsylvania State University; **Jilda Garton**, Associate Vice Provost for Research and General Manager, GTRC/GTARC, Georgia Institute of Technology; **Denise McCartney,** Associate Vice Chancellor for Research Administration, Washington University; Lillie Ryans-Culclager, Director of Contracts, SRI International

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54th ANNUAL MEETING UPDATE

Honoring Old Traditions and New Beginnings

***Front row L-R**: Carolyn Elliott-Farino, Dave Lynch, Alison Wellman Smith, Aimee Howell, Pat Hawk, Vivian Holmes.*

***Middle row L-R**: Barbara Cole, Pat Fitzgerald, Kay Ellis, Josie Jimenez, Toni Shaklee, Dennis Paffrath, Pamela Hawkins, Cathy Snyder, Denise Moody, Tony Ventimiglia*

***Back row L-R**: John Hanold, David Mayo, Garrett Steed, Bo Bogdanski, Lillie Ryans-Culclager, Matthew Staman*

***Not pictured:** Julie Guggino, José Leite, Pamela Webb.*

What are the expectations of an attendee at the annual meeting? As is so often the case in our profession, "***it depends***!" For a first time attendee, you may want to obtain a sense of belonging with a cadre of individuals who face similar situations on a daily basis (and lived to tell about it….). For someone who has attended a few meetings, it could be finding a "take away" from the meeting to share with colleagues at your own institution or professional development opportunities that can advance your career. For a more senior member who has attended numerous meetings, the annual meeting serves as a reunion and the opportunity to meet with colleagues in small groups in order to provide support and guidance on developing new policies that address the challenges of compliance or upcoming regulations. For each attendee, it is important to remember that, as a profession, our jobs are needed (to quote a wise man) "to maintain the engine of science" – what we do makes a difference.

The Program Committee for the NCURA 54th annual meeting (AM54) convened on January 21, 2012, and we are pleased to share with you a "sneak-peak" at some of the opportunities that will be available for you to "reflect" on your professional development and "connect" with colleagues in the always-evolving field of research administration. These themes (reflection and connection) will be echoed frequently throughout AM54. From the workshops to the concurrent sessions and discussions groups, there will be opportunities for continuing a discussion and connecting with colleagues over a specific topic and following an educational "thread" between program tracks. Many concurrent sessions will have "follow-on" discussion groups that will enable attendees to "make the connection," and there are numerous topical areas that will span a number of tracks to address an issue from the viewpoint of specific stakeholders. In addition, concurrent sessions will offer more formats to choose from with the standard panel presentations still available and the addition of primer and town hall sessions providing opportunities for all learning styles!

We are pleased to announce that AM54 will include a nonprofit track. This track will cover issues such as comparisons across cost principles; challenges facing the nonprofit; and strategic planning. This new track will meet a need for members who face these issues first-hand, as well as offer an opportunity for those that collaborate with non-profit organizations to "make the connection" with their colleagues at these institutions!

It is hard to believe that this will be the last annual meeting held during a presidential election. As we reflect on past meetings, we will also take the time to celebrate the new opportunities that we will face in the future. Plans are already underway for activities that will continue to expand on these themes. The Monday morning keynote speakers, nationally recognized political correspondents **Paul Begala** and **Tucker Carlson**, will provide a great point/counterpoint on the election. Tuesday night activities are still being developed, so for now, stay tuned – and get connected!

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A Primer on Federal Contracting - 8 week program
A Primer on Subawards - 8 week program
Visit the website for Enrollment Periods

NATIONAL TRAVELING WORKSHOPS

FINANCIAL RESEARCH ADMINISTRATION WORKSHOP
April 30-May 2, 2012 .... Charleston, SC

FUNDAMENTALS OF SPONSORED PROJECT ADMINISTRATION WORKSHOP
April 30-May 2, 2012 .... Charleston, SC

NCURATV 2012 DVD WORKSHOPS

It Takes a Village to Manage Awards: Post-Award Issues for Pre-Award and Departmental Administrators .... Available February 15

Technology Transfer Issues for the Research Administrator .... Available April 9

Export Controls and Other Security Concerns .... Available July 16

How to Apply Process Improvement Strategies to Research Administration .... Available October 17

NATIONAL CONFERENCES

13TH ANNUAL FINANCIAL RESEARCH ADMINISTRATION (FRA) CONFERENCE
Walt Disney World Swan and Dolphin Resort, Orlando, FL .... March 26-28, 2012

6TH ANNUAL PRE-AWARD RESEARCH ADMINISTRATION (PRA) CONFERENCE
Sheraton Wall Centre, Vancouver, British Columbia .... July 18-20, 2012

54TH ANNUAL MEETING
Washington Hilton Hotel, Washington, DC .... November 4-7, 2012

REGIONAL SPRING MEETINGS

REGION I (NEW ENGLAND) SPRING MEETING
Newport, RI .... May 6-9, 2012

REGION II (MID-ATLANTIC) SPRING MEETING
Gettysburg, PA .... April 22-25, 2012

REGION III (SOUTHEASTERN) SPRING MEETING
Panama Beach, FL .... May 6-9, 2012

REGION IV/V (MID-AMERICA/SOUTHWESTERN) SPRING MEETING
St. Louis, MO .... April 14-17, 2012

REGION VI/VII (WESTERN/ROCKY MOUNTAIN) SPRING MEETING
Waikoloa, HI .... April 15-18, 2012

DEADLINES FOR MAY/JUNE 2012

Submission of Articles to Contributing Editors .... April 6, 2012
Submission of Articles to Co-editors .... April 13, 2012
Submission of Advertisements .... April 13, 2012

Additional information for authors can be found at:
www.ncura.edu/content/news/newsletter/author_instructions.php

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