

AUGUST 2019

NCURA MAGAZINE

VOLUME 51, NO. 4

Supporting Research...together™



New Horizons

ALSO IN THIS ISSUE

- 👁️ New Data for a New Age
- 👁️ The OIG and Research Funding - What to Expect
- 👁️ NCURA Awards & Election Results 👁️

Published by The National Council of University Research Administrators

RISE ABOVE ADMINISTRATIVE BURDEN



Pre-Award



Award



Compliance



Reporting

eRA Software That Empowers

FEATURES



24

Adopting a Growth Mindset in Research Administration to Create New Horizons
By *Jamie Sprague and Isabella DiFranzo*.....4

Inclusion Initiatives—Diversity Matters: Promoting Workplace Diversity in Research Administration
By *Natasha Williams*.....6

New Data for a New Age
By *Natasa Raskovic and Karen Kimes*.....7

Are We There Yet? Your Guide to Sponsored Travel
By *Kyle McDonnell and Linda Sypek*8

Research Administration Related to Cannabis in Higher Education Institutions: A Brief on the Current Landscape and General Considerations
By *Samuel Rodriguez-Flecha, Dan Nordquist and Derek Brown*10

Generational Cohorts Working Together
By *Betsy Foushee*.....16

Research Administration in the Middle East and North Africa: New Horizons for Research Administration in the Middle East
By *Raed Habayeb*22

New Perspectives from Departmental Research Administrators
By *Csilla M. Csaplár, Chris Knight-Gipe, Jaime Petrusek and Diane Meyer*24

RACC Completes Job Task Analysis
By *Jeff Ritchie*.....26

Research Administration in Europe: University Efficiency: What’s on the Horizon for Research Managers?
By *Thomas Estermann and Veronika Kupriyanova*.....27

Reaching the Horizon of Clarity in Research Administration Roles & Responsibilities
By *Kerry Peluso*30

The OIG and Research Funding—What to Expect
By *Ken Lish*.....32

What Executive Management Needs to Know About the F&A Proposal
By *Mira L. Levine and Darryl Lim*36

Research Administration in Asia Pacific: Emerging Role of Research Administrators for Faculty Development
By *Jintao Bao*.....38

Electronic Lab Notebooks: Exciting Potential or Compliance Nightmare?
By *Cindy Rodenburg*.....40

Introduction to the FDP
By *Jennifer Taylor and Michael Kusiak*44

Research Misconduct Trends
By *David Ngo*.....46

ORAU: Building a Research Future on Past Success
By *Eric W. Abelquist, Arlene A. Garrison and Cordell Overby*.....51

Mentoring: Increase Engagement and Empower Staff with Peer Partnerships
By *Melanie Hebl, Kristin Harmon and Catherine Shults*53

NCURA Global Peer Review
By *Daniela Amadio*57

Why Does the Label of “Innovation” Matter in Research?
By *Jessica Svendsen*59



4



10



16



53

NCURA NEWS

President’s Message3

NCURA Awards.....12

Research Administration as a Profession (RAAAP): Part 2.....18

Flashback Photo.....18

10th Anniversary of the NCURA Global Fellowship Program.....19

NCURA Election Results.....31

Work Smart.....39

Training Tips48

Notable Practices.....54

Member Milestones.....56

In Memoriam.....56

Regional Corner60

Spotlight on Research64

Calendar of Events.....Back Cover

Find NCURA on your favorite social media sites!



ON THE COVER:

When something is on the horizon, it's about as far away as you can see, and what you can see depends on your perspective. In this issue we explore "New Horizons" – new and alternative perspectives and experiences related to Research Administration.

Jamie Sprague and Isabella DiFranzo discuss the value of empowering research administrators in "Adopting a Growth Mindset in Research

Administration to Create New Horizons." They explain that a fixed mindset is limiting while people with a growth mindset believe that abilities can be developed through dedication and hard work.

In "New Perspectives from Departmental Research Administrators," Diane Meyer has curated three stories of changing perspectives through new opportunities and roles. Csilla M. Csaplár, Chris Knight-Gipe and Jaime Petrasek share their perceptions of departmental research administration, each through a different lens.

Where better to look for new horizons than around the world? Susanne Rahner and Siegfried Huemer describe their experiences on three continents as fellows and hosts as part of the NCURA Global Fellowship Program (now in its 10th year). The Research Administration in Europe article, by Thomas Estermann and Veronika Kupriyanova, addresses the issue of increased attentiveness to university efficiency and effectiveness. In "New Horizons for Research Administration in the Middle East," author Raed Habayeb discusses the challenges associated with rapid growth of some institutions in that region and posits that striving for "new horizons" involves change from comfortable routine. The contribution from Jintao Bao for Research Administration in Asia Pacific examines faculty development as an emerging priority for research administrators.

And how about perspectives from the diversity of our work teams? Betsy Foushee's article on generational cohorts suggests that research administrators have much to learn from each age group and that workplaces, teams, and productivity likely will benefit from exploring generational characteristics.

Perhaps you've heard of the Federal Demonstration Partnership (FDP) ... maybe you use the subaward template ... but you are a little unclear on what FDP is all about? Don't miss the "Introduction to the FDP." Jennifer Taylor and Michael Kusiak relay the basics about this collaborative effort between federal agencies and universities, and how you might become involved.

We hope this issue inspires you to listen for diverse viewpoints, explore alternative perspectives, and break out of your comfort zone. Here's to new horizons in Research Administration!



Janet Simons, MBA, a Co-Editor for NCURA Magazine, is an Export Officer and Director, Research Policy at the University of Maryland, Baltimore. She can be reached at jsimons@umaryland.edu

SENIOR EDITOR

Toni Shaklee
Assistant Vice President for Research
Oklahoma State University
405-744-6501
toni.shaklee@okstate.edu

MANAGING EDITOR

Marc Schiffman
NCURA
202-466-3894
schiffman@ncura.edu

CO-EDITORS

Rosemary Madnick
Executive Director, Office of Grants
and Contracts Administration
University of Alaska Fairbanks
rmadnick@alaska.edu

Janet Simons
Director, Research Policy
University of Maryland Baltimore
jsimons@umaryland.edu

Angela Wishon
Vice President for Research Compliance
Prisma Health
awishon@ghs.org

COPY EDITORS

Debbie Graves
Training Coordinator
University of Alabama at Birmingham
dggraves@uab.edu

Rashonda Harris
Associate Dir, Post-Award Operations
Emory University
rharr30@emory.edu

Sidney Johnston
Assistant Director, Grants & Sponsored Research
Stetson University
sjohnsto@stetson.edu

Julie Luster
Manager, Controller's Office
Princeton University
jluster@princeton.edu

Scott Niles
Contracting Officer
Georgia Tech
scott.niles@osp.gatech.edu

Lacey Rhea
Research Administration Manager
University of Florida
lacey.n.givens@ufl.edu

CONTRIBUTING EDITORS

CLINICAL/MEDICAL

Scott Davis
Associate Director, Office of Research Administration
University of Oklahoma Health Sciences Center
scott-davis@ouhsc.edu

COMPLIANCE

Carpantato Myles
Director of Research Compliance
University of Alabama
cmyles@research.ua.edu

DEPARTMENTAL RESEARCH ADMINISTRATION

Diane Meyer
Pre-Award Project Manager
Iowa State University
meyerd@iastate.edu

ELECTRONIC RESEARCH ADMINISTRATION

Lori Ann Schultz
Sr. Director, Research Compliance Services
University of Arizona
lschultz@email.arizona.edu

FINANCIAL RESEARCH ADMINISTRATION

Bonniejean Zitske
Assistant Director, Post-Award,
Research & Sponsored Programs
University of Wisconsin – Madison
bzitske@rsp.wisc.edu

GLOBAL - ASIA PACIFIC

Shaofeng Fan
Division Chief for Basic Research Programs
Peking University
fsf@pku.edu.cn

GLOBAL - EUROPE

Ellen Thompson
Senior Manager
LEES Chartered Certified Accountants
e.thompson@leesaccountants.co.uk

GLOBAL - MIDDLE EAST

Raed Habayeb
Director, Office of Research and Grants
Doha Institute for Graduate Studies
Raed.Habayeb@dohainstitute.edu.qa

GLOBAL - U.S.

Gai Doran
Director of Research, School of Forestry
and Environmental Studies
Yale University
gai.doran@yale.edu

PRE-AWARD

Jill Mortali
Director, Office of Sponsored Projects
Dartmouth College
jill.m.mortali@dartmouth.edu

PREDOMINANTLY UNDERGRADUATE INSTITUTIONS

Martin Williams
Director, Office of Sponsored Programs
William Paterson University
williamsm@wpunj.edu

SPOTLIGHT ON RESEARCH

Robyn Remotigue
Director, Office of Research Services
University of North Texas Health
Science Center at Fort Worth
Robyn.Remotigue@unthsc.edu

The NCURA Magazine accepts advertisements for products and services pertinent to university research administration. In addition, display advertisements (including those for position openings) will also be published. The minimum rate is \$1,000.

Advertisements and articles should not be construed as official endorsements by NCURA. For additional information on advertising or changes in address, please contact:



National Council of
University Research Administrators
1015 18th Street, NW, Suite 901
Washington, DC 20036
www.ncura.edu

To request permission to reprint material from the NCURA Magazine, please send your inquiry to Marc Schiffman at schiffman@ncura.edu and include the issue, name of article and where you are looking to reprint it.

© 2019 National Council of University Research Administrators
NCURA Magazine is printed on recycled paper, using Agri-based inks.

 Interested in contributing an article?
Visit www.ncura.edu/PublicationsStore/NCURAMagazine/Submissions.aspx

MESSAGE FROM YOUR PRESIDENT

By Tony Ventimiglia, NCURA President



The theme for this month's *NCURA Magazine* is "New Horizons." Within research administration, we have the privilege of being part of a profession that already encompasses perspectives from various vantage points. A departmental or college-level administrator may have a different view than a central administrator. Pre- and post-award administrators may be impacted by differing perceptions. Compliance, security and technology transfer officers have to herd cats within their own sphere of influence while also working together with central, departmental and college-level administrators to ensure that faculty are supported (and institutional/governmental requirements are met). The great news is that NCURA provides a forum for all requisite views, perspectives and perceptions to be analyzed; learned from; and shared broadly. This also allows us, as a team, to consider new and alternative viewpoints that help us grow as a community and profession.

I can honestly say that I have had the ability to expand my horizons (and perspective) since the last *NCURA Magazine*. In May, Ara Tahmassian and I were invited to participate in a workshop entitled "*Applied Research and Innovation for U.S. – Chile Partnerships*" hosted by the American Councils for International Education. On the same day, we were whisked away to our next speaking engagement – a panel discussion on "*The Role of Research Management in International Research Collaborations*" hosted by the Embassy of Italy in collaboration with NCURA. Throughout both events, it was clear that research management is a global endeavor and developing capacity through workshops, trainings and collaboration benefits everyone.

In June, I attended the Association of Research Managers and Administrators (ARMA) annual conference and INORMS Council meeting. Interestingly enough, the conference theme (New Horizons: Prosperity & Resilience in Research Management) aligned well with this issue! This theme was threaded throughout

the entire meeting through sessions focusing on research evaluation and impact, communicating science, and the importance of international fellowships. During the Tuesday morning plenary session,

"...research management is a global endeavor and developing capacity through workshops, trainings and collaboration benefits everyone."

we were all kept laughing (and thinking) as Dr. Ben Goldacre taught us how to recognize bad science in a truly humorous and engaging manner. It was a great opportunity to connect with our colleagues "across the pond" and to reflect on the fact that, although our perspectives and issues are sometimes quite different, we are always able to find the similarities that allow us to collaborate.

In this regard, and to broaden your horizons, I would recommend considering one of NCURA's fellowships in partnership with our global sister organizations. Additional information on the program and opportunities available can be found on the [NCURA Fellowship Program website](#).

Summer is almost over and another academic year is upon us. I hope everyone takes the opportunity to enjoy the view from various vantage points, growing and learning along the way! ■

A handwritten signature in black ink that reads "Tony Ventimiglia". The signature is fluid and cursive, written in a professional style.

Tony Ventimiglia is the 2019 NCURA President and serves as the Acting Executive Director of Research Administration Services at Auburn University. He can be reached at ventiaf@auburn.edu

Adopting a Growth

What we can see on our horizon depends on our mindset – our established assumptions and attitudes. This adopted point of view guides our decision making and directs how we respond to both trivial and consequential challenges.

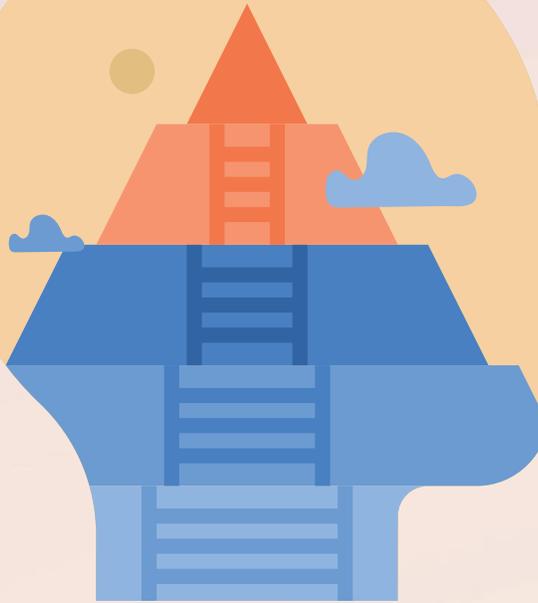
Stanford Professor Dr. Carol Dweck (2016) developed a research-based model that distinguishes between two common mindsets, fixed and growth. Those who believe an individual's basic qualities are innate and can't be changed have a fixed mindset. They focus on demonstrating their talent or intelligence more than developing them. They are often restricted by their fear of appearing to be incapable and in turn avoid opportunities to step out of their comfort zone and develop new skills or expertise. Quite often, their performance is significantly reduced when facing failures or mistakes. On the contrary, individuals who believe talents can be developed through hard work, sound strategies, and input from others have a growth mindset.

A growth mindset helps individuals and organizations embrace challenges, increase empathy, and expand their horizons. By understanding and implementing this model, we can empower research administrators to use their continuously expanding knowledge of diverse regulations, policies, and procedures to facilitate the advancement of science and scholarship while maintaining compliance and ethical standards.

WHY IS GROWTH MINDSET IMPORTANT FOR RESEARCH ADMINISTRATORS?

Research administration is dynamic.

New information from our sponsors that research administrators must consume, analyze, and dispense is propagated almost daily. New leadership at the national, sponsor, university, or department level creates new initiatives, new interpretations of existing regulations, and new policies. New technologies, systems, and ways of doing businesses are launched. Unanticipated project actions and concerns cross our desks every day. In this forever changing landscape, a growth mindset that places importance



Organizations which adopt a growth mindset create opportunities for training and mentoring to develop a workforce reaching for its full potential.

on learning and growing allows individuals and organizations to be agile, responsive, and maintain a positive attitude.

Research administration can be stressful.

Research administrators live in a deadline driven environment. Emotions can run high under pressure. It is critical to stay calm and professional when stress levels are elevated. A growth mindset helps individuals navigate stressful situations by focusing on collaborative solution development through mutual learning rather than insistence on their perspective to validate their worth.

Research administration requires team work.

Even at the smallest of institutions, research requires collaboration between researchers and administrators. As the size of the research enterprise expands, the number of people and offices participating in research and the surrounding activities exponentially increases. The successful stewardship of research projects requires coordination and team work of all participating individuals. Adopting a growth mindset allows these teams to work more

effectively; when team members acknowledge that they have something to learn, they are open to learning others' ideas and perspectives. With increased understanding, they are able to more quickly identify synergies among stakeholders to build relationships, reach consensus, and take quick and appropriate action.

Research administration requires negotiating win-win solutions.

All research administrators negotiate every day. We negotiate budgets with researchers, interpretations of policy with other administrators, awards with our sponsors, licenses with our partners, and our schedules with our work and personal lives. Critical to a research administrator's success is the ability to negotiate, find, define, implement, and orchestrate win-win solutions while managing complex interpersonal relationships. A growth mindset promotes consideration of previously unseen possibilities.

Research administration often has people start out without background in this particular field.

Most in our field did not go to school to become a research administrator. Instead,

Mindset in

Research Administration to Create New Horizons

By Jamie Sprague and Isabella DiFranzo

many came to research administration from numerous different education and working backgrounds with varying degrees of transferrable skills. Success in the field by incoming professionals can be significantly assisted by organizations who embrace a growth mindset. If an organization assumes that each person's skills and capabilities are set, they tend to devote resources to those with existing knowledge and overlook employees with limited knowledge but great learning potential. This can result in employees not feeling valued, the loss of an employee with high potential, and the shrinking of our workforce. Instead, organizations which adopt a growth mindset create opportunities for training and mentoring to develop a workforce reaching for its full potential. Working in a space that allows for error and growth allows employees to be supported, valued, engaged, and productive.

HOW CAN RESEARCH ADMINISTRATORS AND THEIR ORGANIZATIONS PROMOTE AND ENCOURAGE A GROWTH MINDSET?

Seek, accept, and act upon feedback

Adopting a growth mindset requires the letting go of the fear of failure and embracing feedback as opportunities to learn and grow. This is a risky endeavor – seeking and accepting feedback requires vulnerability that many of us avoid, especially in the workplace. However, there is innate power in this vulnerability. Allowing yourself to be vulnerable, to make mistakes, and learn from them, allows others to do the same. It creates relationships, teams, and organizations where all can be supported as they develop and hone their skills. With this discourse in place, individuals and organizations are allowed to look beyond their current reality to consider what else may be out there and what they may be capable of accomplishing.

Anticipate and meet others' needs

While working in such fast-paced and sometimes siloed environments, it is easy to become

focused on your own needs and objectives. By taking a step back and considering what we can learn from analyzing the needs and goals of others, we can increase our understanding and foster collaboration. Consider another's viewpoint – what are his or her concerns? What is on his or her horizon and how does it differ from mine? What assumptions am I making about his or her point of view? By acting with the understanding that we always have something to learn from those we are working with, we can develop a more holistic understanding of our shared work and promote actions which are in the best interest of all.

Cover for our colleagues

We have the same shared common goal and may perform similar functions. However, different positions within the research enterprise have their own specific responsibilities. Covering for colleagues' vacation or other personal time off is a great opportunity to gain exposure to something different; a new sponsor or department in which we have never worked, different faculty members, or different staff members in another research administration office. Also, it may allow us to see how we do things differently and help streamline and standardize our services. You will be amazed at what you can learn from walking in another's shoes, even for a day!

Cross-train within and across functions

In an innately team-based environment, hands-on experience through cross-training offers unique and valuable insight into the perspectives and complexities of another's work. Often to get a different perspective, we need to either move to another location or challenge our established beliefs. Cross-training can be key to developing this new perspective. Inter-office cross-training can be accomplished in many different ways – the formal adjustment of work portfolios, experience sharing during standing team meetings, mentoring someone as he or

she tries a new task, or sitting with someone for a day to understand his or her day-to-day work. Though cross-training across different offices can be more challenging, rotations between different offices can be a great opportunity for employees to understand their work in the larger context, facilitate knowledge exchange, and develop deeper relationships with stakeholders.

Research administration is a dynamic profession that requires administrators to collaborate in order to successfully facilitate research and advance science and scholarship while maintaining regulatory, administrative, and legal compliance. It is critical for research administrators to understand others' perspectives, build consensus, communicate across differences, and build relationships. Through adopting a growth mindset, both individuals and organizations deepen their understanding of themselves and each other to expand their horizons and prepare for new opportunities. ■

References:

Dweck, C. (January 13, 2016) *What Having a "Growth Mindset" Actually Means*. Harvard Business Review. Retrieved from <https://hbr.org/2016/01/what-having-a-growth-mindset-actually-means>



Jamie Sprague, is a Sr. Grant & Contract Officer and the Federal & Subaward Team Lead in the Office of Sponsored Programs at Cornell University. Jamie's responsibilities at Cornell include pre-award and post-award non-financial activities, outgoing subawards, and leadership and training for the federal and subaward teams. She can be reached at jas2233@cornell.edu



Isabella DiFranzo, MPA, CRA, is a Grant and Contract Officer in the Office of Sponsored Programs at Cornell University. She is currently an At Large Member of the NCURA Region II Steering Committee and the co-leader of the Eastern NY subregion. She can be reached at bella.difranzo@cornell.edu

Inclusion Initiatives

DIVERSITY MATTERS:

Promoting Workplace Diversity in Research Administration By Natasha Williams

On today's competitive globalized academic environment, recruiting, retaining, and promoting talent has become a business imperative for many colleges and universities, and each year more and more institutions of higher education launch hiring initiatives with the intention of diversifying their workplaces. New tools in the human resource recruitment process of the nation's top universities are enabling human resource departments to reach a wider audience and attract an increasingly diverse job candidate pool that has elevated inclusive hiring from a recruiting method to an overall strategic objective. This, in turn, has enabled them to differentiate themselves from their competitors by positioning their university as a "university of choice" for job seekers who value diversity in the academic workplace. Indeed, colleges and universities that successfully implement D&I initiatives realize a whole host of positive benefits including increased employee goodwill, improved hiring results, reduced employee turnover, better decision making, faster problem-solving, and increased creativity.

However, despite the known benefits that D&I initiatives bring to the workplace, many higher education institutions lag far behind their competitors in creating an inclusive environment. In fact, recent trends indicate that a substantial representation gap persists between the ethnic and racial makeup of university administrators and the ethnic and racial makeup of the country as a whole. Research conducted by the College and University Professional Association for Human Resources (CUPA-HR) found that only 7% of higher education administrative positions were held by African-American staffers, 3% were held by Hispanic/Latino staffers, and a mere 2% were held by Asian staffers. The remaining 86% of higher education administrators were white. Although minority representation among higher education administrators has been rising, the increase is not enough to keep pace with the increases in the proportion of people in the U.S. who belong to a minority group, or with the increase in the growth among minority college graduates.

As it is in the academy at large, so it is in the field of research administration. Research conducted by Jennifer Shambrook and Thomas Roberts on the demographic profile of research administrators revealed that African-American research administrators comprise 6.3% of the workforce. Hispanic/Latino research administrators make up 4.9%, and Asian research administrators make up 3.6%. Similarly, to university administrators as a whole, 83% of research administrators are white. This, despite increasing efforts by colleges and universities to create diverse and inclusive workplace environments.

What, then, can we as research administrators do to attract more diverse candidates to the profession? First, we should work to ensure that supervisors and managers understand the importance of workplace diversity. As the primary points of employee connection to the university, managers and supervisors need to be aware of the ways that they can support all employees in developing a diverse workforce. A good first step is to examine recruitment,

evaluation, and promotion policies to more readily facilitate workplace diversity. For example, rather than limiting job postings to the university HR website, or industry specific ones such as higheredjobs.com and/or NCURA. Job postings should be tailored to reach broader audiences, and disseminated to a wide variety of job fairs, community hiring offices, and outreach programs. As well, consider offering diverse opportunities for employee engagement. This can take the form of encouraging and recommending a diverse mix of employees from your office to sit on university-wide committees and task forces where they can participate in other environments, learn how other units address problems, and bring information back to their own teams.

Mentoring remains one of the key components of workplace diversity programs, and while most universities offer some sort of staff leadership development program, less structured development programs are an additional way to provide employees with a wide variety of opportunities to develop professionally. Connecting underrepresented employees with opportunities for continuing education, encouraging participation in professional organizations such as NCURA, and encouraging participation in executive training are but a few of the many ways you can supplement a formal mentoring program with informal mentoring opportunities.

Finally, conduct a personal self-evaluation to gauge your own role in creating an inclusive workplace. Do you consciously champion diversity but subconsciously reward conformity? Is your LinkedIn network an exhaustive list of people who look just like you? What are the unconscious attitudes and socialized behaviors that limit your ability to create a diverse and inclusive workplace? No matter how open-minded and judgement-free we believe we are, internal judgements about the people around us are often automatic and engrained because of life experiences. Becoming conscious of the lens through which we view others, whether that be race, gender, religion, age, or personality, can give you a window into your own behavior and provide a pathway for learning how to build internal mechanisms that raise awareness of your own implicit attitudes and how to embrace the tapestry of diversity that is the modern day workplace. ■

References

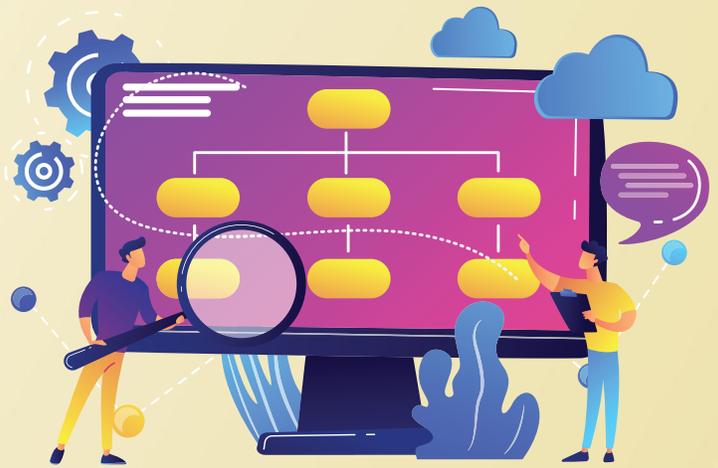
- Bichsel, J., and McChesney, J. (2017 March). Pay and representation of racial/ethnic minorities in higher education administrative positions: The century so far.
Shambrook, J. & Roberts, T.J. (2010). Profile of a research administrator. *Research Management Review*. 2011;18(1):19-30.



Natasha Williams is the Associate Director of Research Development & Strategic Initiatives at Kennesaw State University engaged in providing strategic, proactive, and capacity-building activities to facilitate faculty research and increase university competitiveness. She is a member of NCURA's 2019 Presidential Task Force on Diversity & Inclusion, and a RAMP3 mentor for NCURA Region III. She can be reached at nwill201@kennesaw.edu

New Data for A New Age

By Natasa Raskovic and Karen Kimes



In the age of Big Data, there is a significant paradigm shift in the way that research administration (RA) records are perceived. Data gathered and processed in RA offices as part of day-to-day activities are now being recognized as a valuable resource for the entire research enterprise. The increased number and complexity of data requests that RA offices are receiving is an affirmation of the increased significance of data collected and analyzed by these offices. A growing number of stakeholders are realizing that tools for taking an institution's research to the next level could be found buried deep in RA records. This new focus on RA data is driving offices managing that data to develop data systems and related expertise to assume a new role of a leading RA data resource. Fulfilling this new role requires changes in office dynamics and culture and imposes new expectations on both office information systems and office staff.

The data driven culture of the institutions we serve has altered how we are expected to respond to requests. It has also driven how to interact with the central office and principal investigators on projects in trying to develop different tools to make sure we are all understanding what we are seeing.

This new perception of RA data records and a focus on data analytics exposes shortcomings in current RA systems and data management processes. Systems need to evolve together with evolving data needs. Currently, data often reside within systems designed primarily for process streamlining, with very little data processing functionality. Sometimes data gathering is more of a side product of the system than its main feature. Systems that do not collect relevant data at all, collect data that are not structured and formatted for easy retrieval and extraction, collect data that are not reliable, and do not provide tools for data reporting can present major obstacles for data reporting. To keep pace with growing data requirements, eRA systems should be able to collect relevant and reliable data that are structured and formatted for easy retrieval, extraction, reporting and sharing. Often, data need to be imported to different software packages for further manipulation and presentation. In addition, office staff has to assure data integrity by establishing maintenance processes focusing on data accuracy and consistency.

Beyond big data gathering is the search for analytics that make sense and can power change. At the department level, resources exist to have the conversations necessary to impact change. The Department Chair would like to see the overall scope of change, the Vice President/Chancellor/Chair of Research would like to dive into the progress we have made in a variety of areas, and the PI would like to limit the nitty gritty details and just get a handle on the monthly expenditures. The expectation becomes having expertise in all the different applications and platforms and manipulating the data into usable forms.

The data driven culture of the institutions we serve has altered how we are expected to respond to requests.

Thinking nimbly about the end user needs enables the research administrator to produce a graphic, table or dashboard to discuss the data in a format that is beneficial. Whether clinical trial monitoring for subject recruitment, increasing support for basic research activities, or dollars per square foot of lab space, any research administrator would have to first utilize a minimum of three electronic systems to pull together the pieces necessary for a comprehensive analysis.

The department level research administrator also interacts with several shareholders outside the department – sponsors, subcontractors, the dean's office, and of course the central sponsored programs office. These other relationships specific to the department mean the department administrator is the catchall of systems. The relationship can be found if the data exist.

The relationship between the eRA systems and all the sponsored program activity is growing. eRA applications being used today will be updated, improved, and customized each year. The people developing expertise in these systems are the keystone to advancement and success. ■



Natasa Raskovic is the Research Administration Data Analyst in the Office of Grants and Contracts Administration at the University of Alaska Fairbanks. With the background in computer science and business administration, she is interested in utilizing information technology to support process streamlining and decision making. She is working on database development and data analysis for both pre and post award process. A member of NCURA for the past five years, Natasa participates on the NCURA ERA Collaborate committee. She can be reached at nraskovic@alaska.edu



Karen Kimes, MBA, is the Research Administrator for the Department of Radiology at University of Colorado Denver School of Medicine. She manages all department grants and contracts, clinical trials, service centers and the Colorado Translational Research Imaging Center. Her previous experience is in HR and Finance and she has worked for Peace Corps, University of Wisconsin-Madison, the Gallo Clinic at UCSE, and United Way. A member of NCURA for the past three years, she was the NCURA Region VII Travel Award winner in 2016 and participates on the NCURA ERA Collaborate committee. She presented at the NCURA Annual Conference in 2017 and was an invited speaker to the 2017 International Stroke Conference in Dongguan, China. She can be reached at karen.kimes@ucdenver.edu



Are We There Yet?

Your Guide to Sponsored Travel

By Kyle McDonnell and Linda Sypek



Travel-related expenses, both domestic and foreign, are allowable costs on a sponsored project, provided they directly benefit the award to which they are charged. It is very important to consider a number of criteria to ensure these costs are allowable. Are these costs necessary to carry out the objective(s) of the project? Does the purpose of the travel fit within the scope of work on the grant? Have you reviewed the terms and conditions of the award to determine whether there are any travel restrictions?

Below we will discuss important steps research administrators should follow prior to charging travel expenses to a sponsored project, as well as provide a list of best practices that our Office of Sponsored Projects employs which are crucial in achieving success and remaining in compliance when administering an award. We will approach this discussion from a department's perspective, as well as that of a central office, in an effort to identify some of the more common obstacles a department may encounter, while also touching on techniques to mitigate this burden.

Before any decision is made when traveling on sponsored funds, it must be remembered that it is the responsibility of the traveler and PI to know the terms set forth in the notice of award with reference to allowable travel expenditures, as well as any additional institutional requirements. Federal awards are required to comply with the Office of Management and Budget (OMB) Uniform Guidance (Cost Principles). Uniform Guidance states that travel costs are allowable by employees who are on official business of the institution and charges must be consistent with those normally allowed by the university. In addition, private sponsors may have their own requirements for travel.

Once the review of the award document and any restrictions is complete, there are also other items to be cognizant of prior to booking travel. Steps to consider include, but are not limited to, the following:

- **Is the travel specifically related to the project?**
Are you going into the field? Are you disseminating results from the project, presenting at a conference?
- **Is the business purpose clearly stated?**
How does the travel benefit the scope of the award? Is the purpose clear and concise?
- **Is the travel within the period of performance?**
There are instances where travel may fall beyond these dates, but the justification must be adequate and in accordance with the terms of the award.

- **Are there funds available to cover the cost of the travel?**
Even when funds are budgeted, you must also be sure the funds are available at the time of travel.
- **Is prior approval from the sponsor required?**
When reviewing the award notice, determine if prior approval is required.
- **Is the traveler supported on the project?**
When an individual's support comes from other funds, i.e., general funds, industrial support, foundation, gift funds, or voluntary support, and the funding source of the travel is from a federally-sponsored project, justification must be provided to support the travel.
- **Are travel costs in compliance with regulations?**
In order for costs to be charged to a federal award, the expense must be:
 - **Allowable** – Is it in accordance with federal guidance and the terms set forth in the award agreement?
 - **Allocable** – Does it directly benefit the award? Can it be appropriately apportioned?
 - **Reasonable** – Does it pass the prudent person test? Is it necessary?
 - **Consistent** – Is it treated consistently for all work of the organization under similar circumstances, i.e., direct vs indirect costs?

Additional factors to consider when foreign travel is required include the Fly America Act and City Pair Program, both of which can be researched further using the links below:

- **Federal Travel Regulation**
www.gsa.gov/policy-regulations/regulations/federal-travel-regulation-ftr
- **Fly America Act / Open Skies Agreements**
www.gsa.gov/portal/content/103191
- **City Pair Program Search**
<http://cpsearch.fas.gsa.gov>

While the aforementioned practices serve as a good foundation for with which to ensure compliance, travelers do occasionally straddle the line of conformity, thus presenting a challenge for the department assisting with the travel process. We spoke with a department here at Brown University to try to understand some of the challenges they have encountered. This department organizes a multitude of federally-sponsored workshops/conferences throughout the calendar year, many of which attract students and researchers from around the world. Naturally, this lends itself to an interesting perspective in terms of the department's diverse experience attained over the years concerning travel on sponsored projects.

It is important to preface this by first acknowledging that the department issues an invitation letter to the visiting scholar/researcher, which contains funding restriction guidelines. These guidelines, if properly adhered to, help to ensure travel compliance. However, there still may be scenarios that present themselves which could lead to non-compliance issues. For example, a travel reimbursement request may contain: airfare that is not the most economical, i.e., economy plus, business class, first class; airfare that is refundable; travel dates not aligned with the business purpose; and multi-stop ticket in which the visitor travels to a location other than Brown University either before or after the conference/workshop. If any of the above arise, the department obtains a comparable quote - at the time of purchase - in order to document the allowable portion to be charged to the sponsored project.

With that said, there are unfortunately times in which the department encounters a travel issue that results in an expense being disallowed from the sponsored project and ultimately non-reimbursable. For example, airfare/lodging costs submitted by traveler despite canceling

trip for personal reasons would be non-reimbursable. Foreign airfare purchases that violate the Fly America Act and do not meet qualifiable exceptions, such as the Open Skies Agreement, are also examples of unacceptable costs that are not allowable. One rather "wild" justification was from a visitor who attended a conference here at Brown. The visitor flew via a private plane and submitted receipts for expenses such as jet fuel and hanger rental at the airport. These expenses, of course, were disallowed. Of course, these few examples are mostly outliers. Nonetheless, it is crucial to be cognizant of the myriad rules and regulations pertaining to travel on a sponsored project.

One of the most valuable lessons we have learned in our interaction with our various departments is when you plan ahead and are aware of your individual award requirements, you will ensure that your trip and subsequent expense reimbursements run smoothly. Never hesitate to reach out to your departmental/institutional support staff with questions before you travel on a sponsored project. ■



Kyle J. McDonnell, MBA, is a Grant/Contract Accountant II in the Office of Sponsored Projects at Brown University. He is a senior research administrator with experience in all aspects of post award compliance and fiscal administration. He can be reached at Kyle_McDonnell@brown.edu

Linda Sypek, is a Grant/Contract Accountant II in the Office of Sponsored Projects at Brown University. She began her career in grant accounting at the departmental level and is now a senior research administrator in the central office, handling all aspects of post award grant administration. She can be reached at Linda_Sypek@brown.edu

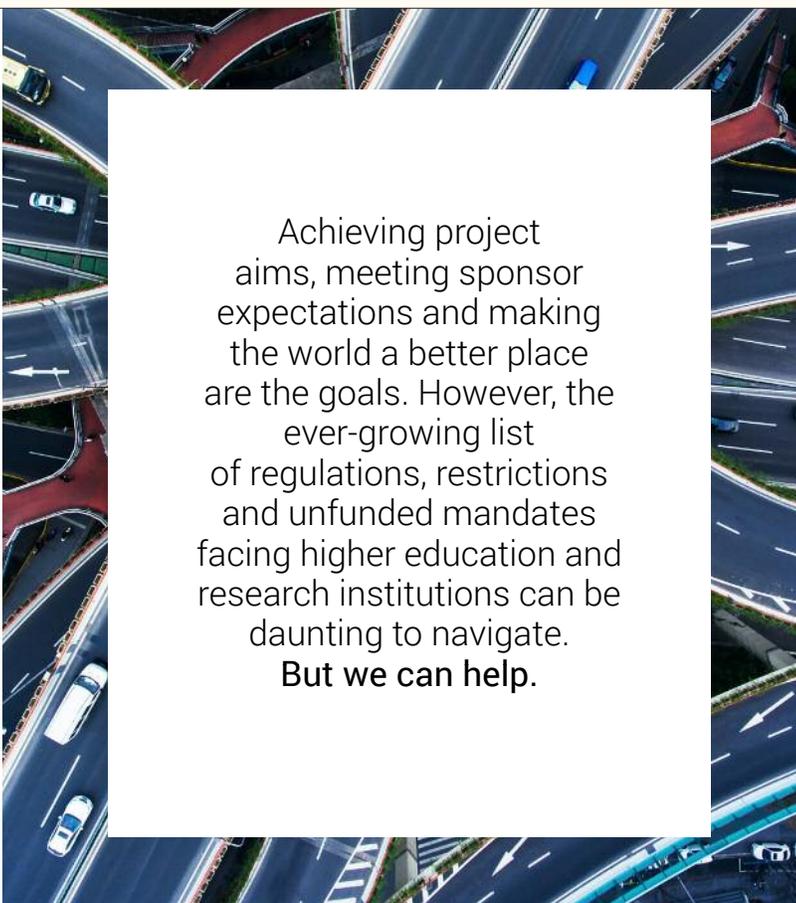
Navigate the complex roads of sponsored projects with Baker Tilly

Baker Tilly is a full-service advisory and accounting firm serving over 450 higher education and research institutions nationwide. Our dedicated practitioners give you access to the industry's best thinking to help you achieve your research strategy, manage risks and successfully administer sponsored projects.

Visit bakertilly.com/higher-education to learn how we can help you drive your research objectives.



Baker Tilly Vinchow Krause, LLP trading as Baker Tilly is a member of the global network of Baker Tilly International Ltd., the members of which are separate and independent legal entities. © 2019 Baker Tilly Vinchow Krause, LLP



Achieving project aims, meeting sponsor expectations and making the world a better place are the goals. However, the ever-growing list of regulations, restrictions and unfunded mandates facing higher education and research institutions can be daunting to navigate. **But we can help.**



Research Administration Related to Cannabis in Higher Education Institutions:

A Brief on the Current Landscape and General Considerations

By Samuel Rodriguez-Flecha, Dan Nordquist, and Derek Brown

Please note: This article details important distinctions to think about when looking at cannabis within a research administration framework and highlights considerations regarding regulations, risks, gray areas, funding, and best practices. We hope that readers of this overview will obtain some starting points as they seek to engage in conversation, and also be prompted to contribute to the still expanding body of knowledge related to cannabis research activities as they pertain to research administration. The specific rules and regulations around cannabis in research are very fluid, changing seemingly daily. This piece was written in the early summer of 2019 and may not be a current representation of all facts if read in the future.

Cannabis: Marijuana, THC, Hemp, CBD...

Understanding the correct terminology will go a long way in helping navigate the cannabis research fields and the legal terrains. Although ‘cannabis’ is often used as a general term that includes marijuana as well as industrial hemp, it is important to note that marijuana and hemp are not the same thing; both their physical and chemical properties are distinct (Cadena, 2018). *Cannabis* refers to a family of plants; *cannabinoids* refers to different chemical compounds found in cannabis. There are more than one hundred cannabinoids that have been isolated from cannabis, one being *tetrahydrocannabinol* (THC), a psychoactive ingredient. A non-psychoactive cannabinoid that is thought to have positive health effects is *cannabidiol* (CBD). Marijuana is used for its recreational and/or medicinal properties and averages between 15–40% THC. Hemp is defined as having less than 0.3% THC, and is used to manufacture fabrics and other materials. While marijuana and hemp both contain CBD, hemp is used to manufacture THC-free CBD products.

States legalization of marijuana, and industrial hemp and the Farm Bill

The U.S. has seen a move toward increasing decriminalization and legalization of cannabis in the last quarter century. To date, 34 states and four U.S. territories have approved the use of marijuana for medical purposes (NCSL, 2019). In 2012, Colorado and Washington became the first states to legalize the adult recreational use of marijuana. Currently, ten states and the District of Columbia have passed such laws. Marijuana is still illegal at the federal level (Brown, 2019).

The 2018 Farm Bill expanded industrial hemp as a commodity (Wolff, 2019) and expanded provisions about the importance of learning more about hemp as well as protections and conditions under which research can be conducted (Hudak, 2018). Yet, hemp-related activities will continue to be highly-regulated, with its oversight shared at the federal and state levels.

CBD products and the unregulated CBD market

One area of high interest, and also of confusion, is products containing CBD. The Drug

Enforcement Administration (DEA) “retains jurisdiction over CBD from marijuana, because marijuana remains a Schedule I substance” (Wolff, 2019). Although the 2018 Farm Bill removed “hemp-derived products from its Schedule I status under the Controlled Substances Act, the legislation does not legalize CBD generally” (Hudak, 2018). There are some exceptions if certain circumstances are met. Hudak (2018) indicated that:

“a cannabinoid that is derived from hemp will be legal, if and only if that hemp is produced in a manner consistent with the Farm Bill, associated federal and state regulations, and by a licensed grower. All other cannabinoids, produced in any other setting, remain a Schedule I substance under federal law and are thus illegal.”

In the sports world, for example, international organizations like the World Antidoping Agency (WADA), have moved toward the removal of CBD from their banned substances lists. More athletes are stepping up and breaking the stigma associated with products derived from cannabinoids (CNN, 2019). Yet, one must be

cautious and avoid assumptions that may create problematic situations when engaging in research activities that involve some of these cannabis derivatives or products. To date, only one CBD-based product, Epidiolex (for epilepsy) has been approved by the FDA (Wolff, 2019).

Cannabis research: Risks, gray areas, and opportunities

These ongoing changes present opportunities and challenges that touch every aspect of life (e.g., social, economic, agricultural, medical, educational, legal). As a result, these realities have a significant and direct impact on higher education research administration. Research administrators must familiarize themselves with

The specific rules and regulations around cannabis in research are very fluid, changing seemingly daily.

the legal landscape and comply with both federal and state laws. The invaluable resources and networking opportunities provided by professional organizations like NCURA cannot be understated. Also important to consider are an institutions culture and policies with respect to cannabis-related activities.

Although cannabis-related activities have opened up significantly in the past few years, they remain highly regulated and still illegal at some levels, and therefore present legal risks that should not be ignored. Marijuana is still illegal at the Federal level, even if there may be some policy (e.g., Cole Memo) relaxation with regard to some enforcement activities. Institutions of higher education must take into account the implications and potential risks of engaging in cannabis research from a legal perspective but also from a research funding perspective. With respect to hemp, research institutions must institute policies in accordance with their respective state programs and limitations.

Some definitions in laws and/or policies still lack clarity regarding legal/scheduling status of certain cannabis components (Auriti et al, 2018). For example, it is still unclear to what extent hemp-derived materials are excluded from Schedule I restrictions (WSAS, 2018). Additionally, at the moment there is only one sanctioned provider for research-grade cannabis in the U.S., the University of Mississippi. Since the 2018 Farm Bill declassified hemp-derived CBD, it raises the question of product source for some researchers. It is still unclear if and under what

circumstances other sources will be allowed (Hudak, 2018). Additional guidance is required from the involved federal entities (i.e., DEA, FDA, NIDA) to help ensure compliance. Accepting funds from the cannabis industry (some would argue marijuana related businesses only, but also a gray area) is also still illegal. Therefore, potential sources of some funding for research may be problematic, as well as conducting work for the industry or specific companies (WSAS, 2018). More clarity is also needed as to the scope of research activities authorized by the Farm Bill.

The leadership of higher education institutions must facilitate synergy between researchers and research administrators to appropriately

navigate the expanding legal and policy landscape of cannabis-related research and its gray areas. Involvement with the institution's legal counsel is vital to address uncertainties. Some actions that can be taken involve the proactive engagement and strengthening of existing relationships with state and federal agencies, for funding and regulatory considerations and planning (e.g., identifying funders' priorities, working closely with program officers). It is also important for each institution to prioritize their cannabis-related research interests, activities, and facilities. Another aspect that is highly beneficial is identifying and seeking partnerships with other institutions that have experience and are farther along in the process. Collaborating with other institutions in lobbying efforts at the state and federal levels (e.g., education, policy, outreach) can prove pivotal in the advancement of research, and cannabis-related research is not the exception. ■

Appendix

Federal entities involved in cannabis-related activities:

- The Department of Justice (DOJ)— the Drug Enforcement Administration (DEA) enforces the Controlled Substances Act [oversees PI's registration and site licensing to conduct studies with marijuana]
- NIH/NIDA [supports scientific research; oversees cultivation of marijuana for medical research (University of Mississippi)]
- Food and Drug Administration (FDA) [regulates research on potential therapeutic uses; enforces products containing cannabis compounds]

Resources

- Auriti, E., Bendall, J., Nordquist, D. & Schutjer, L. (February 22, 2018) Cannabis research: Legal and policy issues. Presentation given for the Council on Governmental Relations (COGR) Meeting. Washington DC.
- Brown, D. & Nordquist, D. (March 2019). Cannabis research overview: Nation, State, and your institution. Presentation given for the 13th Annual Pre-Award Research Administration Conference. Las Vegas.
- Cadena, A. (September 2018). Hemp vs Marijuana: The difference explained. *CBD Origin*. Retrieved from <https://cbdorigin.com/hemp-vs-marijuana>
- CNN (May 2, 2019). 'It was a no brainer': Bubba Watson on using CBD products in golf. Retrieved from www.cnn.com/2019/05/02/golf/cbd-bubba-watson-golf-pga-tour-spt-intl/index.html
- Hudak, J. (December 14, 2018). The Farm Bill, hemp legalization and the status of CBD: An explainer. Retrieved from www.brookings.edu/blog/fixgov/2018/12/14/the-farm-bill-hemp-and-cbd-explainer
- NCSL (March 5, 2019). State medical marijuana laws. Retrieved from www.ncsl.org/research/health/state-medical-marijuana-laws.aspx National Conference of State Legislatures
- Wolff, K. (January 18, 2019). Understanding the impact of the 2018 Farm Bill on CBD. Retrieved from www.kelleydrye.com/News-Events/Publications/Client-Advisories/Understanding-The-Impact-Of-The-2018-Farm-Bill-On
- WSAS (September 2018). The highs and lows of conducting research on cannabis in Washington State: A summary of the 11th annual symposium. Washington State Academy of Sciences.



Dr. Samuel Rodriguez-Flecha is currently a consultant for the Office of Research Support and Operations (ORSO) at Washington State University (WSU). He has over eight years of experience in research administration. He obtained his PhD in educational psychology from WSU and began working for the university in 2006. He can be reached at srodriguezflecha@gmail.com



Dan Nordquist is currently the Deputy Vice President for Research in WSU Office of Research (OR). He oversees the pre-award office, research reporting, conflict of interest, OR information technology, and supports strategic initiatives that promote WSU's research agenda. Dan is a NCURA Past President and can be reached at nordquist@wsu.edu



Derek Brown is a Research Operations Manager for the ORSO at WSU. He began as an Office Assistant, advanced to Grant and Contract Specialist where he helped implement WSU's electronic proposal routing and approval process, served as a Sub-Award Coordinator, and is now in his new Manager role. Derek has been at WSU since 2005 and is a past Treasurer of NCURA Region VI. He can be reached at derekbrown@wsu.edu

2019 Awards

2019 Outstanding Achievement in Research Administration Award



Dan Nordquist, Deputy Vice President for Research Operations/Associate Vice President, Office of Research Support and Operations, Washington State University is the 2019 recipient of the NCURA Outstanding Achievement in Research Administration Award. This award recognizes a current or past NCURA member who has made 1) noteworthy contributions to NCURA and 2) significant contributions to the profession of Research Administration. First awarded in 1994, this award is NCURA's highest honor.

Dan's contributions to NCURA are many, spanning nearly 25 years of NCURA membership. Dan has served as NCURA President, Chair of Region VI, and as the Senior Editor of NCURA Magazine. Dan conceptualized and launched NCURA Magazine's e-Xtra weekly news supplement. Dan has served as a faculty member of the Level I: Fundamentals of Sponsored Project Administration Workshop, a member of the Professional Development Committee, and has authored several NCURA Magazine articles. Dan has also served on many regional and national program committees and served as the Co-Chair of the 2019 PRA Conference. Dan received the Region VI Meritorious Contribution Award in 2017 and the NCURA Julia Jacobsen Distinguished Service Award in 2014.

Judy Fredenberg, University of Montana, shared *When thinking about how best to describe Dan, I googled "salt of the earth" and found "an individual considered to represent the best or noblest elements of society." Dan's dedication to advancing the profession of research administration is, indeed, representative of the best elements of NCURA. He embodies servant leadership and he models the way for others.*

Dave Richardson, University of Illinois at Urbana-Champaign, NCURA Distinguished Educator, says *By any measure, Dan's service to NCURA is extensive, but his contributions to the profession of research administration extends well beyond the words on his resume. What is not captured in his many titles or multiple volunteer appointments but is experienced by those who have worked with Dan are his intangible contributions to the profession. He freely shares his research administrative knowledge and often goes out of the way to be purposely inclusive of those around him by including them in new initiatives.*

Dan's colleague Christopher Keane, Vice President for Research, Washington State University, adds *Dan plays an essential role in policy devel-*

opment and ensuring that WSU is compliant with federal regulations. He is a transparent communicator, and he empowers his team to learn more about the profession through his leadership. Dan encourages all of his team members to participate in NCURA for professional growth, a reflection of his personal commitment to the organization. Dan provides invaluable guidance at our university in our 'Drive to 25' and in other university strategic plan initiatives.

Bruce Morgan, University of California, Irvine, contributed *Dan is approaching his 30th anniversary as a research administrator and he's not slowing down. While his commitment to the profession is unwavering, it's his dedication to supporting the people who make up the profession, which makes him an outstanding research administrator. Dan is the epitome of a research administrator whose impact and accomplishments are nothing short of excellence.*

Patricia Hawk, Oregon State University, NCURA Distinguished Educator, says *My interactions with Dan started back in 2001 when he was elected Chair of Region VI and I was elected as Chair-Elect. Dan was instrumental in setting up Region VI's web*

presence. Because of Dan's involvement, Region VI's web presence was certainly larger than what I had seen from my previous region. I will always think of Region VI being an early adopter of a web presence, and I attribute that to Dan's influence.

On receiving the award, Dan states, *I appreciate this award very much and many thanks to those who nominated me (Judy Fredenberg, Bruce Morgan, Pat Hawk, Dave Richardson, and my boss Chris Keane with help from Derek Brown) and the many that helped me grow as a research administrator, and person, along the way. I have thoroughly enjoyed the NCURA activities I have been involved with – the people, fun, knowledge, and memories – all worth it! In our research administration profession, NCURA is the perfect place to develop your career and build that important professional network...and make a bunch of friends along the way.*

Dan Nordquist will receive the Award for Outstanding Achievement in Research Administration on Monday, August 5, 2019, at the 61st Annual Meeting Keynote Address.

2019 Awards



John Hanold



Dennis Paffrath



Shannon Sutton



Ara Tahmassian



Susan Zipkin

2019 NCURA Julia Jacobsen Distinguished Service Awardees

This year the NCURA Nominating and Leadership Development Committee selected five veteran NCURA members to receive the Julia Jacobsen Distinguished Service Award. This award recognizes members who have made sustained and distinctive contributions to the organization.

Each recipient has contributed to NCURA's success in numerous ways and for many years. The following summaries provide a snapshot of their service and contributions in addition to the many presentations they have made at regional and national meetings and conferences over the years.

THE 2019 AWARD RECIPIENTS ARE:

John Hanold, Associate Vice President for Research, Director, Office of Sponsored Programs, The Pennsylvania State University. John has served on several national program committees including the upcoming 61st Annual Meeting Program Committee and was a faculty member of the Level II: Sponsored Projects Administration Workshop. John was part of the development team and a current faculty member of the Contract Negotiation and Administration Workshop. John is currently a member on the Select Committee of Global Affairs, a Global Workshop faculty member, and has presented on several NCURA webinars. As a recipient of this award, John states, *"NCURA provided me with the greatest opportunities of my professional life to grow as an administrator. I am grateful for this award, but even more grateful for the chance to study at the feet of some of the very best people in our profession—at NCURA workshops, discussion groups, etc. I would encourage others to give everything they can to this organization. I'm convinced each of us can get so much more out of collaboration than anything we can individually give."*

Dennis Paffrath, Associate Vice President, Research, University of Maryland, Baltimore. In his 25 years of NCURA membership, Dennis has served as the Chair of Region II, as a member of the national Board of Directors, a member of the Professional Development Committee, and went through NCURA's Executive Leadership Program. Dennis has served on the program committees for several national conferences, including the upcoming 61st Annual Meeting Program Committee. Dennis currently serves as a faculty member for the Level II: Sponsored Project Administration Workshop and as an NCURA Peer Reviewer. Dennis shares, *"It is an extreme honor and very humbling to be a recipient of the Julia Jacobsen Distinguished Service Award. My thanks to all who have helped me along this journey called research administration and to those who let me help them along their journey."*

Shannon Sutton, Director, Sponsored Projects, Western Illinois University. During her 17 years of NCURA membership, Shannon has served as NCURA Treasurer, as Chair of the Financial Management Committee, and as the Region IV Treas-

urer. Shannon served on the 2019 PRA Program Committee, the Education Scholarship Fund Select Committee, and has written several articles for NCURA Magazine. Shannon received the Region IV Distinguished Service Award in 2017 and went through NCURA's Executive Leadership Program. Currently, Shannon is a faculty member for the Fundamentals of Sponsored Project Administration Workshop and an NCURA Peer Reviewer. As a recipient of this award, Shannon adds, *"As I look at the current and past cohort of NCURA Distinguished Service Award recipients words fail me. The NCURA family has given me support, courage and the knowledge to grow professionally and personally. Thank you seems inadequate for the many opportunities NCURA has provided. My goal remains steadfast in supporting the NCURA mission through continued service."*

Ara Tahmassian, Chief Research Compliance Officer, Harvard University. Ara served on the 2019 PRA Conference Program Committee, as a member of the Professional Development Committee, and as an NCURA Magazine Contributing Editor. Ara is a current Global Workshop faculty

2019 Awards

member and is on the upcoming 61st Annual Meeting Program Committee. Currently, Ara is the Chair of the Select Committee on Peer Review, is a member of the Select Committee on Global Affairs and is an NCURA Peer Reviewer. In reaction to the award, Ara says, *"I am truly humbled by the honor of receiving the Julia Jacobson Distinguished Service Award. Involvement in NCURA has been a tremendous asset for me both professionally and personally. The immense rewards for the little time that I contribute to NCURA have been access to a vast network of professional colleagues whom I can contact with questions and who are more than willing to share their knowledge, and many friendships forged while working closely with colleagues."*

Susan Zipkin, Manager, Accounting and Financial Compliance, University of New Hampshire. In Susan's nearly 20 years of NCURA member-

ship, she has served on the Board of Directors, on the Nominating & Leadership Development Committee, and the Professional Development Committee. Susan went through NCURA's Executive Leadership Program. Susan served as both Region I Chair and Region I Secretary, was Co-Chair of the 55th Annual Meeting, and has served on many national conference program committees. Susan received the Region I Merit Award in 2012. Susan is currently a faculty member for the Financial Research Administration Workshop. Susan shares, *"I am honored and proud to be amongst the 2019 recipients of this award. As I look back at the many years I have been involved with NCURA, I can't help but think about how much NCURA has served me. In addition to being instrumental in my professional development, NCURA has provided me with a network I utilize daily, mentors, and lifelong friendships for which I am eternally grateful for. I am also extremely proud to be a*

research administrator. NCURA has strengthened this profession and made it known to be one based on collegiality and endless opportunities. As members of NCURA we strive to be better both for ourselves and each other."

The Distinguished Service Award recipients will be recognized at the upcoming 61st Annual Meeting before the keynote address on Monday, August 5, 2019. Please join us in thanking them for their service and their contributions!

GET SMART WITH NCURA PUBLICATIONS

Expand your knowledge with these easily readable, concise and affordable resources. ORDER YOUR COPIES TODAY!

- A Primer on Clinical Trials
- Compensation – Personal Services: Managing and Reporting Effort
- Cost Sharing: An Overview
- Facilities and Administrative Costs in Higher Education
- Establishing and Managing an Office of Sponsored Programs at Non-Research Intensive Colleges and Universities
- A Primer on Intellectual Property
- The Role of Research Administration
- Writing and Negotiating Subawards
- OMB Uniform Guidance Desk Reference



© National Council of University Research Administrators | Phone: 202.466.3894 | Fax: 202.223.5573 | info@ncura.edu

FOR MORE INFORMATION AND TO ORDER THESE PUBLICATIONS VISIT THE NCURA STORE:
www.ncura.edu/PublicationsStore.aspx

2019 Awards



2019 Joseph F. Carrabino Award

The Joseph F. Carrabino Award, established in 2003 by the NCURA Board of Directors, is named after the late Joe Carrabino, NSF Grants Officer. This award recognizes a current or former Federal partner who has made a significant contribution to research administration, either by a single project, activity, or innovation, or by a lifetime of service. The NCURA Nominating and Leadership Development Committee selected Rochelle Ray as the recipient of the 2019 Joseph F. Carrabino Award.

Rochelle Ray is the Branch Chief for the Resolution and Advanced Monitoring Branch (RAM) in the Division of Institution and Award Support (DIAS) of the National Science Foundation. In her role, Rochelle is responsible for post award activities including audit resolution, advanced monitoring and post award adjustment review functions. Rochelle also serves as a subject matter expert on issues related to federal assistance awards and compliance.

Robert Andresen, Director of Research Financial Services, University of Wisconsin-Madison, NCURA Distinguished Educator; and Craig Reynolds, Executive Director, Research and Sponsored Projects, University of Michigan share

Throughout her career, Rochelle has been a staunch advocate for the research community and a public servant of the highest integrity. She has long recognized that strong stewardship is essential to achieving an agency's mission, ensuring not only the effective conduct of research but also its continued financial and public support. Rochelle works tirelessly to strengthen partnerships among major stakeholders each of whom work toward a common goal; to provide transparency and fairness in a rapidly changing environment; and to advocate for initiatives that benefit the research community.

Kim Moreland, Associate Vice Chancellor, University of Wisconsin-Madison, NCURA Distinguished Educator, adds

The scope of her work is enormous, and her willingness to forge sound opinions based

on policy brings a broad perspective to the immediate situation. Her insight into the workings of any specific project, combined with her expertise in the policies and procedures of NSF, ushers logic and intelligence into our conversations about any audit. Remarkably, despite the tensions that accompany the resolutions of any audit, Ms. Ray remains calm and impartial. She has earned the respect of the recipient community as well as her colleagues in NSF.

In her own words, Rochelle says

"It is a pleasure and privilege to partner with amazing staff and members of the research administration community daily to support researchers across the U.S. Being selected by NCURA as the 2019 recipient of the Joseph F. Carrabino award is a wonderful blessing for which I will always be grateful! Having worked closely with several of the previous recipients, I know well and admire the caliber of their contributions to America's research enterprise. So, to be recognized among them as a recipient of this esteemed award is truly incredible and one of the greatest highlights of my career.

Working to support the National Science Foundation's mission through excellence in grant administration, compliance, and oversight is a passionate pursuit that I have enjoyed for 28 years. I look forward to continuing, and to 'Building towards the future together.' Thank you, members of NCURA, for this very special honor."

As recipient of the 2019 Joseph F. Carrabino Award, Rochelle will be recognized at the 61st Annual Meeting before the keynote address on Monday, August 5, 2019.



Generational Cohorts

Working Together

By Betsy Foushee

The Civil Rights Act of 1968, also known as the Fair Housing Act, named seven protected classes, or groups of people with some characteristics in common. People belonging to these groups faced discrimination in buying or renting homes, and the Civil Rights Act was enacted to recognize and prohibit this discrimination. The seven protected classes were: race, color, religion, sex, handicap, familial status, and national origin. Over the years, the list was partially updated, changing 'sex' to 'gender,' 'handicap' to 'disability,' and adding more groups such as sexual orientation, sexual identity, age, and genetics. Acknowledging personal and organizational biases toward groups of people allows us to choose to move beyond discrimination toward diversity, then to inclusion, and finally to achieve equity.

This article aims to spark discussion on a class that may not exactly need protection, but deserves attention from the perspective of research administration teambuilding: generational cohorts. The four cohorts making

up most of the US workforce now are: Baby Boomers, Generation X (also called Latchkey Kids), Generation Y (also called Millennials) and Generation Z, all defined by birthdate ranges. In the same way we each belong to the protected classes of race and national origin, we each belong to a generational cohort. Besides birthdate ranges, members of generational cohorts also share common characteristics such as values, motivation, influences, and attributes.

Marketing professionals have worked hard to identify cohort characteristics so they can align products and advertising to target groups. Human resource professionals are addressing cohort differences in motivation, values, and leadership style. Research administration professionals, especially those of us working in small offices, should also be thinking about how generational cohorts, working together intentionally, can leverage our combined strengths to create... what? A more dynamic team? A more satisfying work environment for everyone? Better policies and processes? Why not aim for all of these?

It is important to remember generational cohort characteristics are broadly defined and aggregate characteristics that apply to many or most members. They are not absolutes, and to use them as such reduces them to the level of a stereotype. One marketing resource (Boomers, Gen X, Gen Y, and Gen Z Explained, 2019) reports the cohort names are useful as shorthand for 20-year chunks of experience, but that few individuals self-identify by their generational cohort. In practical terms, this means that while a person's generational cohort may have a strong sense of entitlement, this individual may have a strong work ethic and be loyal to managers.

Working together, we need to find a balance. It is always necessary to treat one other as unique individuals, and to avoid a 'we/they' or 'me/you' dichotomy if we happen to belong to different generational cohorts. Regardless, acknowledging our cohort common characteristics can be a helpful starting point. For example, thoughtful use of technology makes it possible for a small office to manage many processes

and greater workloads than would otherwise be possible. However, a person who has always lived in a world with the internet and digital devices will likely have different expectations and trust levels than someone who learned to work with computers by punching cards. Neither viewpoint is right or wrong, but making decisions together may require discussion to identify assumptions, costs, and benefits.

concerns or expectations from the generational cohort perspective. This works both ways, as we can also try to envision how others perceive us. What do they believe we have to offer? How can we manage our mutual cohort characteristics to achieve the best results? By seeking the same balance with those we serve as we seek with our research administration colleagues, we can respect the individual while also acknowledging

community. A *Harvard Business Review* survey reported employees of all generational cohorts value meaningful work, yet “every generation perceived that the other generations are only in it for the money, don’t work as hard, and do not care about meaning” (Weeks, 2017, para. 17). That is common ground right there! ■

Generational cohorts are real, but they are not silos.

We can learn from each other if we accept we are all professionals supporting the same goals. Have you ever researched your own generational cohort? Some of the attributes your cohort purportedly possesses or lacks may surprise you.

Another reason to understand basic characteristics of generational cohorts is to provide better service to our stakeholders. If we consider the individuals and groups we support in research administration, we can perhaps anticipate

the broad strokes—the shorthand—of likely cohort characteristics.

Generational cohorts are real, but they are not silos. We are not even required to stay within the characteristics of our own cohort! Working together, we can draw from our collective cohorts to choose our way forward. Understanding generational cohorts is another way to understand the actions and interactions of our colleagues, our university, and our

References

- Boomers, Gen X, Gen Y, and Gen Z Explained (2019). Retrieved from <https://communityrising.kasasa.com/gen-x-gen-y-gen-z>
- Weeks, K.P. (2017). Every Generation Wants Meaningful Work—but Thinks Other Age Groups Are In It for the Money. *Harvard Business Review*. Retrieved from <https://hbr.org/2017/07/every-generation-wants-meaningful-work-but-thinks-other-age-groups-are-in-it-for-the-money>



Betsy Foushee, MPA, CRA/CPRA, is Grants Coordinator at Tidewater community college in Norfolk, VA. Betsy works with faculty and staff in all discipline areas of the College. Her sponsored program responsibilities include pre-award, post-award, and compliance activities. Her personal research interests are sponsored programs in the community college, and the Works Progress Administration Arts Projects. Betsy can be reached at bfoushee@tcc.edu



A single integrated system to manage the entire research lifecycle

- **PRE-AWARD**
- **POST-AWARD**
- **ANALYTICS**
- **IRB, IBC, IACUC & COI**
- **ANIMAL FACILITIES**

877.689.3661 | Cayuse.com

Research Administration as a Profession (RAAAP): Part 2

You may recall taking a survey in 2016 called RAAAP, otherwise known as the Research Administration as a Profession survey. This project was originally sponsored by the NCURA Research Program, led by Simon Kerridge of University of Kent in the UK as the Principal Investigator (PI), and Stephanie Scott of Columbia University as the Co-PI. The survey targeted research administrators from all over the globe about their work histories, skill sets (both hard and soft skills), educational backgrounds, and why they joined the profession. There were 2,691 responses from 64 countries (Kerridge & Scott, 2018).

In 2018, the International Network of Research Management Societies (INORMS) Council endorsed developing RAAAP into a

longitudinal study in order to collect data about research administrators over time. In October 2018, a new INORMS RAAAP Taskforce formed representing each of the 18 INORMS research administration professional organizations. The Taskforce provided input on the questionnaire design, and you may have seen this shorter and more streamlined version of RAAAP sent or forwarded to you. Welcome to RAAAP-2!

Please do look out for the survey announcement being distributed by email from each of the professional organizations and take the time to complete the survey. Imagine all the data we will collect about our profession over time and the valuable insights that this will bring.



You can find out more about the 2016 survey and the work of the INORMS RAAAP Taskforce on the INORMS website at: <https://inorms.net/activities/raaap-taskforce>

References

Kerridge, S., & Scott, S. F. (2018). *Research Administration around the World. Research Management Review*, 23(1), 34. www.ncura.edu/Portals/0/Docs/RMR/2018/v23_n1_Kerridge_Scott.pdf





of the NCURA Global Fellowship Program - Why engage in a global fellowship?

EXPERIENCE OF TWO GLOBAL FELLOWS

By Susanne Rabner and Siegfried Huemer

NCURA has awarded global fellowships to its members since 2009, supporting their experiences in countries across the planet. More than 50 research administrators have taken part in the program, being recharged and inspired. We have been part of this program twice: once in 2013 as a European Association of Research Managers and Administrators (EARMA)-NCURA Fellow to the University of New Mexico (UNM) and New Mexico State University (NMSU), and in 2018 as NCURA Global Fellow to the University of the Witwatersrand (Wits University), Johannesburg, South Africa. We hope that this report on our experiences, challenges and inspirations will encourage many more members to apply for a global fellowship.



When we learned of the Global Fellowship Program in 2011 through our activities in NCURA, we were immediately charmed by this unique opportunity to travel abroad and share knowledge with colleagues from other research entities – knowledge not gained by spending a few days at a conference removed from our day-to-day work, but knowledge gained in cooperating, twinning, and shadowing in real working environments that tell so much more about cultures, professional development, backgrounds and people working together.

A tight schedule was planned prior to both fellowships, the cornerstones of which were:

- Presenting an overview of our entities and projects: YGGDRASIL, Berlin, and University of Technology (TU Wien), Vienna;

- Attending presentations by staff at the UNM, NMSU, and the Wits University describing their institutions and projects;
- Meetings with people from different positions in each university's hierarchy
- Invitations to participate in team meetings; and
- Presenting workshops and at conferences.

We met with staff from the top management to the project management and financial experts at the operational level: Denise Wallen, Research Assistant Professor at UNM; Josie Jimenez, Associate Director at NMSU; Robin Drennan, Director of Research Development at Wits University; and Pamisha Pillay, Director of Research and Support at Wits Enterprise. We could see the whole picture, at the different

strategic and operational levels, of how the universities succeeded in attracting international and national projects and scientists. What struck us most was the openness of the three universities — we were given reports, checklists, handbooks, and IT tools, and were invited to join strategic meetings (e.g., the reflection day at Wits Research Office, a meeting of the managers of the College of Education, Robert Wood Johnson Foundation at UNM, and current projects of the NMSU). In Johannesburg, we had the honor of participating in the 2018 Southern African Research and Innovation Management Association (SARIMA) Annual Conference where we gave a workshop and several presentations.

We found that the topics that were of most interest to the host institutions were:

- defining the Research Manager’s tasks;
- how best to deliver excellent service;
- how to proceed in a strategic, structured and operational way;
- innovative ways to inspire scientists to apply for external funding;
- developing trainings for PIs and administrators to assure quality;
- recognizing opportunities to commercialize scientific findings and operationalizing those outcomes;
- implementing support services at pre- and post award levels;
- streamlining services to create efficient processes without redundancy;
- determining who is responsible for quality management during submission and implementation, and who is authorized to approve those processes; and
- IT tools and communication.

Finally, understanding the university’s strategic goals and lobbying was key – in other words, “Where will we be in 10-20 years?” Above all, our hosts were interested in learning how to participate as a US or South African scientist in the new European Research and Innovation Program Horizon 2020 and vice versa.

In our opinion, our hosts work on similar challenges as we do in Germany, Austria and Europe. One difference we did note was the use of different scientific language and colloquial language in the US, South Africa, and Europe.

Individual Program Benefits

There are many ways in which we each benefited from being NCURA Global Fellows. Most obvious are the new networks we’ve established with staff at many different levels of responsibility. We discovered we have many shared ideas, visions and plans to collaborate internationally for which we have to find appropriate program opportunities. In doing so, we have to think “out of the box,” meeting challenges for institutions in South Africa and the US that are not issues for those of us working in Europe (e.g., political, security and health issues). You could say that our fellowship experiences have *internationalized* our approach to collaborate. Now we look at Austria, Germany and Europe with a global perspective, not an insular view.

Other benefits include sharing information about our company/university and our projects. At Wits, we had the honor to give a workshop on goal preferences and conflicts, and to moderate a Deans’ and Directors’ meeting on

visions and opportunities of international work. Again, we discovered many new views and visions that have deepened our understanding for each other’s institutions and institutional practices as they relate to research management. We feel invigorated, inspired and ready to find new avenues and partnerships. In our sometimes very limited everyday tasks, experiences like the global fellowships can ignite and improve our work.

Institutional Program Benefits

Our fellowships have brought new networks and greater visibility to our institutions leading to new searches for international projects for potential partnerships. For example, African-international co-operations and bilateral staff exchanges are being planned with two universities in Germany. TU Wien hosted one NCURA Global Fellow, Delia Gallinaro, Executive Director, Office of Research and Sponsored Programs from Sam Houston State University (Texas) during September 2013 as an additional benefit following the exchange to UNM and NMSU. As a direct result of Susanne meeting with South African Research Administration managers, one manager from South Africa was awarded a European Research Administration Fellowship to Brussels.

How did the research administration field benefit from the program?

Research administration, as a field, has also reaped benefits from our global fellowships. We compared issues, challenges, structures and cultures across Europe, the US and South Africa, with different political, geographical, cultural, and human backgrounds. We compared standards, quality issues, process management topics, and hierarchical aspects. We exchanged best practices and discussed why things work at some universities and not at others. We became sensitive to the fact that we use different wording across these cultures and recommend that NCURA develop a glossary for the research administration topics for different areas of the world.

The Global Fellowship Program brings greater visibility to the research administration profession, showcasing the unique and diversified attributes and skills required of a research administrator. Through these shared exchanges, fellows, hosts, and colleagues at every level come away inspired by each other and with a better understanding of each other. The fellowships have the potential to impact NCURA’s professional development activities and Education Scholarship Fund Program.



If we were to advise potential Research Managers to apply for a Global Fellowship, we would say “Yes, go! You cannot lose. You will win.”

You will face and overcome challenges, find hospitality, friendliness, openness, and new ideas from your hosts. You will be inspired, and your work will get a new spark. You will find that you have valuable experience and knowledge to share with others. Your self-confidence, and Research Administration as a profession, will get a boost. You will be proud to be part of the profession, and to be part of the NCURA-, EARMA-, SARIMA- and INORMS- community as a source of knowledge, friendship and professionalism.

Susanne discovered the following expressed on a wall of a German university, and it is so true:

“The world is a book. If you do not travel, you will only read one page of it.”

To learn more about the NCURA Fellowship Program visit us at www.ncura.edu/Global/NCURAFellowshipProgram.aspx



The deadline for 2019-2020 applications is September 2.



Susanne Rahner is Director and Owner of YGGDRASIL Rabner in Berlin, Germany. She can be reached at info@yggdrasil-dr-rahnew.de



Siegfried Huemer is Head of Unit at TU Wien in Vienna, Austria. He can be reached at Siegfried.huemer@tuwien.ac.at

Introducing AttainRate.

Optimize your rate calculation.

Leverage a solution that learns and grows with you.

Access your data, anytime, anywhere.

Navigating today's complex federal cost policy, grants management, and compliance challenges requires a comprehensive approach that can inspire the best solutions and outcomes for your unique needs.

Introducing AttainRate, a bundled offering featuring a user-friendly, cloud-based F&A platform combined with support from experienced, best in class consultants to help you interpret the dynamic regulatory environment that affects cost recovery rates.

AttainRate—your holistic F&A cost recovery solution.

www.attain.com/attainrate



New Horizons for Research Administration in the Middle East

By Raed Habayeb

The Middle East region is undergoing rapid growth in terms of research productivity and is thus in many ways embarking towards “New Horizons” of development. Many of the region’s universities were established only very recently, and many research administrators work in these nascent organizations. How do we in the Middle East use this unique position to our advantage? How do we navigate the challenges associated with rapid growth, but garner the fruits of having a fresh perspective amidst the establishment of new research institutions or initiatives? I will attempt to lay out some rough responses to these questions from my vantage point as the Director of Research and Grants at the four-year-old Doha Institute for Graduate Studies located in Qatar. I hope this article furthers a fruitful exchange with my NCURA colleagues on this important topic.

Undergoing rapid growth puts an emphasis on speed of implementation and this undoubtedly imposes a strain on us to find quick solutions to issues or obstacles. A considerable number of us working in the Middle East come with a rich set of experience accumulated in Western universities and research institutions. In many instances, these experiences provide a valuable tool-kit for application locally. The old adage: “if it isn’t broke, why fix it?” could very well apply, as many of the things we learned abroad have proven their durability and usefulness after many years of development. I argue, however, that importing processes for doing business is not always the best approach. One must be mindful of the local context and its particularities, as well as the existing problems associated with what we often simplistically consider the “tried and true” ways of doing things. Working in start-up environments accords you a level of freedom to do things differently with a fresh perspective. Research administrators in the Middle East risk missing valuable opportunities to improve or innovate if



they automatically default to implementing familiar imported processes. The challenge lies in resisting going for the quickest course of action (and thus the seemingly “efficient” one) and opting instead for a more critical approach that holistically analyzes the issue or task and develops a more tailored solution. For example, my department is responsible for implementing a human subjects research ethics-training program and compliance mechanism, and the dominant approach in the country was to adopt the prevailing model in the U.S. We found, however, that the commonly used online training website was not very well suited to the local context, and more importantly did not offer the content in the Arabic language. We thus developed our own customized training program and bilingual IRB approval mechanism. While the setup was a laborious endeavor, we found that the improved outcomes justified the effort. Another example is providing personalized project management services to PIs on large sponsored grants. Since we were a small university with a commensurate number of projects, we felt this is something we could support.

As the founding director of the department, I was accorded an opportunity to build something from scratch and a level of freedom to implement processes that leveraged my experience in prior jobs outside university research administration. In this case, my background in technical project management provided useful lessons for application in my current context.

In addition to the above examples, we are also currently working on establishing a database of Arabic journals that meet an acceptable level of academic rigor and standard, so faculty can publish in the language. Faculty are free to publish in any language, but options for Arabic journals are unclear, as most of the reputable indexing systems do not systematically carry or rate these journals. From a big-picture standpoint, encouraging academic publishing in the local language is important strategically for the region and for the enhancement of research impact.

Another important point to keep in mind on this topic is the appointment of new staff. In our region, we often have to deal with the issue of

high turnover, and this can of course bring its own set of challenges. Nevertheless, leveraging the perspectives of new staff is important for development and innovation, and it helps avoid developing departmental tunnel vision. It is useful to empower new staff regardless of their seniority to critically analyze existing processes and functions and to provide feedback for improvement. I often ask new staff in my

Thinking about the big picture also involves looking beyond our immediate responsibilities and examining how our role as research administrators fits in the broader research ecosystem at the university and country level. Qatar recently established a national level Research, Development and Innovation (QRDI) council for furthering the strategic goal of aligning governmental efforts in this realm with

perspective to our roles, enhances motivation, and puts our work in context within high-level strategic goals. We might not always be accorded these exact types of opportunities, but any occasion that allows for engagement and contribution at a level beyond day-to-day operations will facilitate attuning to new perspectives of doing business.

Leveraging new perspectives and striving for “New Horizons” of accomplishment involve challenging ourselves to take action that sometimes involves self-reflection, self-criticism and change from comfortable routine. Research administrators in the Middle East are often building the foundations of their departments, and so this line of thinking is in some ways inherent to our job descriptions. We should utilize this position to learn from the experiences of more established research ecosystems and innovate within our local context for the benefit of our developing researcher community. ■

Undergoing rapid growth puts an emphasis on speed of implementation...

department to dedicate their first month to conduct this systematic investigation within their sphere of influence or function. This process provides beneficial results to the department and assists in quickly making the new employee feel a sense of belonging and empowerment. It is thus a win-win proposition if executed effectively.

the country’s development priorities. The council has actively solicited our viewpoints and concerns in regular workshops and forums, and these events offer valuable opportunities to provide input to pressing topics that include research capacity building, private sector engagement and regulatory framework reform. Active participation in these endeavors provides a fresh



Raed Habayeb, MA, MBA, is the Director of the Research and Grants Department at the Doha Institute for Graduate Studies. He is the Middle East Contributing Editor for NCURA Magazine. He can be reached at Raed.Habayeb@dohainstitute.edu.qa



Self Paced! 10 WEEK ONLINE TUTORIALS

Includes Knowledge Checks and Certificate of Completion for the Individual Learner

Register today, and start the first lesson anytime that works for your schedule. You will have TEN WEEKS, from the first time you access the first lesson to complete the course.

INCLUDES UNIFORM GUIDANCE REFERENCES

- **A Primer on Subawards Under Federal Assistance Awards**
An overview of the complex process from drafting and negotiating through review. (10 Chapters)
- **A Primer on Federal Contracting**
Understand the contracting process, regulations, negotiations and risks. (14 Chapters)
- **A Primer on Intellectual Property Agreements**
A broad introduction to the basics through actual research and licensing agreements, plus negotiation tips. (10 Chapters)
- **A Primer on Clinical Trials Management**
Focused on Clinical Trials Management, including key administrative, financial, and regulatory issues that arise in planning through close-out. (6 Chapters)

VISIT <https://onlinelearning.ncura.edu> to register

NEW PERSPECTIVES

from Departmental Research Administrators

By Csilla M. Csaplár, Chris Knight-Gipe, Jaime Petrasek and Diane Meyer

Introduction

When I asked NCURA colleagues in the Departmental Research Administration (DRA) Community the following questions, I couldn't have predicted the beautiful stories that would grow and bloom:

- When have you experienced Research Administration from a fresh perspective?
- Have you considered something to be routine only to see it differently when talking with a new DRA colleague?
- Did you learn something new when you moved from a central position to a DRA role?

These three women shared stories of compassion, bridge building, and being transported to new dimensions. I'm optimistic that you can relate to their experiences and may even find inspiration to try something new!

The Importance of the Newcomer Perspective, by Jaime Petrasek

Albert Einstein is famously quoted as saying "The more I learn, the more I realize how much I don't know." I don't consider myself a philosopher, but I can certainly relate to those words and how they tie into research

administration. Our line of work is filled with change and grey areas, and the phrase "it depends" is uttered regularly and in earnest. I have also found that every time my perspective changes, my learning curve and knowledge base follows. My vantage point has changed quite a bit over the past 14 years. I started in a central sponsored programs office, moved to a clinical trials office on the medical campus, and for the past 6 years, I have directed "all things research" in a school on the academic campus. While it is true that I have spent my entire research administration career at the same university, I can promise you that each move I made seemed to transport me to a new dimension.

Recently I found myself faced with a new opportunity for growth and change; after many years in the field, it became apparent to me that I had lost some of my ability to see things through the eyes of someone new to the field. While this may not seem noteworthy on the surface, over time it became more and more clear to me that relating to newcomers and entry level employees is absolutely essential to my job and to communication in general. I had grown accustomed to speaking in acronyms and from a high level perspective, and at the same time, I neglected to nurture the skills I needed to train someone in small, incremental steps on the day-to-day business needs. Getting back to basics and redirecting my focus to folks new to the field gave me the chance to re-learn some aspects of the job that have changed over the years, as well as the opportunity to identify areas for improvement within my own operating procedures and processes. When I took the time to step back, breathe, and get in the weeds with someone brand new to account reconciliation and budget development, I found myself energized and



invigorated by the energy and sense of willingness a newcomer has the unique ability to bring to an organization.

Working with a positive, goal-oriented newcomer gave me a renewed sense of purpose, and a healthy dose of gratitude for the career I stumbled into just 14 short years ago. My hope, and my personal goal, is to make sure that I make time for the newcomers within our field both at my own institution and within NCURA. To meet my goals, I contacted NCURA's own Maggie McCool, Staff and Volunteer Services Associate, and asked to serve as my university's NCURA Campus Liaison. I'm also continuing to serve as program chair for the NCURA Region III RAMP3 Mentoring

tioning into department- and unit-based roles gave me an eye-opening view into the sheer variety of issues that DRAs face. Finding ways to navigate these variable pressures can be challenging! While movement across roles is an effective learning opportunity, some of this can also be achieved through other collaborations such as job-shadowing, regular in-person meetings or discussions, campus working groups, and jointly identifying issues and seeking solutions in partnership. Having an understanding of the different roles, skills, and challenges in each part of our institution can help build bridges for better collaborations, and can often open up new career opportunities as well.

“...build bridges for better collaborations...”

Program. Keeping in contact with folks new to the field and the organization is key for me to continue to see things through a fresh perspective.

Opportunities for Learning, by Csilla M. Csaplár

Over my research administration career, I have worked to understand the business from as many perspectives as I can. After unwittingly stumbling into a research administration career by way of a grants manager position at a sponsor foundation, I have since served as a contract and grant officer in a centralized sponsored projects office, the administrative manager of an academic department, and now in a school-based research administration unit. With each move, I have purposefully identified perspectives of the business in which I could expand my own knowledge, and utilize my breadth of experience to better serve both my unit's clients and the institution's compliance and workload needs. In turn, each move has proven to be a great education.

The priorities and pressures of each role and unit are very different, and it can be difficult to articulate or understand one another's needs (and thus effectively negotiate or collaborate) without a window into what the other parts of the business look like. A colleague once described the expertise of a central office as being “an inch wide and a mile deep,” while the departmental expertise is “a mile wide and an inch deep.” Being in a central office gave me significant depth of policy and institutional knowledge and broad connections to campus, and transi-

What you see on the horizon depends on your perspective, by Chris Knight-Gipe

There's a quote I recently found from Maya Angelou: “My mission in life is not merely to survive, but to thrive; and to do so with some passion, some compassion, some humor, and some style.” As my career has taken me to several positions at my university, I can honestly say I have found opportunities to thrive, be passionate, and have leaned on friends to help me find the humor in all of it. The jobs I've held throughout my career have had a profound impact on my perspective of the world, not to mention the scientists, faculty and staff I've worked with. When I was working in accounting and left for an opportunity to work as a research administrator, I thought I was leaving budgeting behind. Little did I know that creating spreadsheets for multi-personnel and multi-subcontracts was going to be my newfound passion. I wanted to make each proposal the brightest, smartest, and shiniest it could be!

A management level position lured me away from the College of Engineering to the Extension and Outreach unit at the university. So many questions presented themselves. What research is being done in Extension? What multi-million-dollar grants are they doing? Will I be challenged? Honestly, it only took a few months before I realized just how big and impactful this program is. Extension brings research to your community, your youth, your peers, and your neighbors in need. I quickly learned that being a DRA for Extension and Outreach is about caring for others, and finding new and innovative ways

to provide healthy foods in the schools, strategies to enhance habitats for monarch butterflies and endangered bees, providing STEM education opportunities in K-12, providing safer child care programs, and of course, our most pressing issue today, how to provide help for this year's flood victims in our state. These are only some of the programs that have taught me that my work is about compassion.

I challenge you to think about your perspective in your role as a DRA. What can you do to help advance your programs? Does it feed your passion? Can you find humor in it? How can you give it style? Think about how you can thrive in your role as a research administrator and remember to do more than merely survive.

Conclusion

Were you inspired by these perspectives? Maybe you will change how you view your current position and interactions with colleagues, faculty, staff, and students. It's so easy to get into a routine, but hopefully these stories will encourage you to apply your own style to your work so that you will shine! ■



Csilla M. Csaplár is the Director of Engineering Research Administration at Stanford University. She is currently a member of NCURA's Nominating and Leadership Development Committee, Region VI Advisory Committee, and Traveling Workshop Faculty. She can be reached at csaplarc@stanford.edu



Jaime Petrasek is the Director of Research Administration in the School of Social Work at Virginia Commonwealth University. She is a member of the NCURA 2019 Presidential Task Force on Diversity and Inclusion and serves as the Program Committee Chair for the Region III mentoring program, RAMP3. She can be reached at petrasekjl@vcu.edu



Chris Knight-Gipe is the Contracts and Grants Manager for the Vice President for Extension and Outreach at Iowa State University. She has worked with teams of faculty and staff in various research administration related roles for 20 years. She can be reached at cknight@iastate.edu



Diane Meyer is the Pre-Award Project Manager in the Grants Hub at Iowa State University. She began her research administration journey in 1998 in a central office. She also worked in a research center and the College of Engineering before moving back to a different central office. She's been a member of NCURA since 2001 and has served the organization in regional and national roles. She can be reached at meyerd@iastate.edu

RACC Completes Job Task ANALYSIS



By Jeff Ritchie

The Research Administrators Certification Council (RACC) and its partner, Professional Testing Corporation, have completed their most recent Job Task Analysis for the field of research administration. The Job Task Analysis provides the core data that form the Body of Knowledge, which is the core of the three certification exams offered by RACC.

The Job Task Analysis is the most comprehensive review of research administration in the United States. It complements the data assembled internationally in 2016 by the Research Administration As a Profession (RAAAP) project. The data that we gathered from the Job Task Analysis will be incorporated into the next version of the certification exams starting in late 2019.

If you're not familiar with the Job Task Analysis, it's an extensive survey of research administrators and the tasks they perform on a regular basis. The version of the survey had more than 200 data points, and despite being quite lengthy, nearly 1,000 research administrators responded to our invitation to take part. In addition, a dozen volunteers from around the country served on the Practical Analysis Task Force. Thanks to all of you!

The profession of research administration is overwhelmingly female – which I think we all suspected – of the survey respondents, only 15% identified as male. And we've been on the job for quite a while. Nearly 90% of respondents have been in the profession for more than five years. But bear in mind that certified research administrators were the lion's share of the respondents, and so that figure is going to skew toward longevity.

While the demographics of this population will differ somewhat from a broader population of research administrators, the responses to

What do research administrators do all day? We read. A lot.

the 190 task statements are what's important. And the Job Task Analysis provides some specific insights. What do research administrators do all day? We read. A lot.

On a scale of 1 (Never) to 5 (Daily) the most frequent tasks involve reading and reviewing sponsor guidelines (4.0), reading our own internal policy documents (3.8), reading award terms and conditions (3.9) and reading federal regulations (3.5).

Eye strain, anybody? But diving into the crosstabs, I can't help but be struck by the 1.7% who responded that they "Never" read federal regulations. I guess somebody has to generate those audit findings.

Differences within the profession appear with regard to varying types of research environments. Research administrators at Predominantly Undergraduate Institutions (PUIs) are far more engaged in finding sources of funding and assisting PIs in the development of proposals. Research administrators at PUIs were nearly 50% more likely to be engaged in writing proposals than their colleagues at academic medical centers.

On the other hand, research administrators at larger institutions tend to spend more time managing fiscal issues – likely reflecting the presence of departmental administrators who handle financial tasks such as processing invoices and monitoring accounts receivable.

Here's one final data nugget that explains our world. The survey identified 17 broad areas of knowledge (i.e., Codes and Regulations, Personnel Management, Organizational Skills) and

asked respondents to determine how important each one is for "competent performance" as an administrator. Of the 17 areas, 9 of them were essentially tied at the top, within two-tenths of a percent point of each other, and all but two of the others were trailing not too far behind.

So, in case you've ever wondered. Yes. We have to know everything to be good at our job. Thanks once again to all who participated in the RACC Job Task Analysis!

TOP 10 Knowledge Areas (In Order)

1. Communication Skills
2. Codes & Regulations
3. Analytical Skills
4. Organizational Skills
5. Time Management
6. Interpersonal Skills
7. Ethical/Legal Issue
8. Financial Skills
9. Project Management
10. Leadership Skills



Jeffrey Ritchie, CRA, CFRA, is the Director of Sponsored Programs at Hamilton College, the Immediate Past Chair of the Research Administrators Certification Council, and a graduate of NCURA's Leadership Development Institute (LDI). He is currently working

on the development of a Certified International Research Administrator (CIRA) program. He can be reached at jritchie@hamilton.edu

University Efficiency: What's on the Horizon for Research Managers?

By Thomas Estermann and Veronika Kupriyanova

Efficiency, effectiveness and value for money: state of play

Over the last decade, policy makers and universities in Europe have been paying greater attention to efficiency and effectiveness in a more demanding higher education context. The USTREAM (Universities for Strategic, Efficient and Autonomous Management) project explored the concept and practice of efficiency from a university perspective. It delved into system, sector and institutional efforts to foster efficiency, effectiveness and value for money in all university settings: strategic governance, operational/professional management and academic matters (Figure 1).

Efficiency is found to be tightly linked to effectiveness, quality and value for money and thereby contributes to the achievement of the university's main mission. While it is currently mostly driven by decreasing resources, as well as new approaches to steering higher education institutions, the key enablers to more efficient and effective operations include institutional autonomy, leadership commitment and the involvement of all institutional actors in the design and implementation of the efficiency agenda.

European universities apply a broad range of practices to enhance their professional and support services. Efficiency in academic matters, including learning and teaching, as well as research and innovation, often takes place through collaboration between several universities. It can also come about through sector representative organisations, such as national university associations. At the system level, universities and sector representative organisations engage in policymaking to ensure that European and national frameworks provide enabling conditions for efficient and effective operations. Table 1 presents some examples of efficiency measures pursued by policy makers and universities at different levels and in various settings.

European universities apply a broad range of practices to enhance their professional and support services.

Figure 1. USTREAM Approach

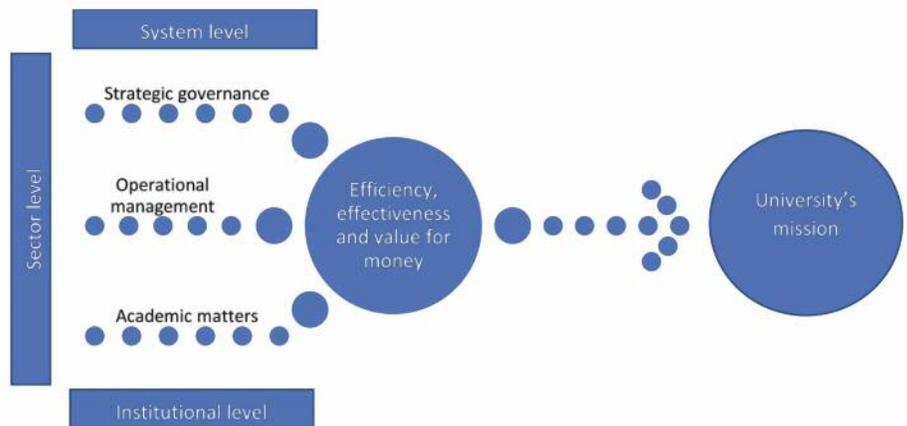


Table 1. Examples of Efficiency Measures

	Operational dimension	Academic dimension	Strategic governance dimension
System level	Land use Estate ownership VAT regulations	Programme certification procedures	University autonomy legislation Funding modalities
Sector level	Collaborative procurement Shared services	Shared research assets Shared staff	Exchange of practices Benchmarking Peer learning
Institutional level	Space use optimisation Centralised procurement Asset sharing within institution	Research profiling Review of the academic offer	Leadership and engagement Value for money reports 'Efficiency culture'

¹ The European University Association (EUA), one of the largest university associations worldwide, representing more than 800 universities and national rectors' conferences in 48 European countries, the Irish Universities Association (IUA), Universities UK (UUK) and Central European University (CEU) are partners in the USTREAM project. USTREAM is co-funded by the Erasmus+ programme of the European Union.

Fostering efficiency in the research context

Research managers play a key role in exploring new approaches to delivering on the university's research mission in a more efficient manner. They can help raise efficiency in the research and innovation context in several ways, such as by fostering collaboration; raising the efficiency of research partnerships through greater awareness and better management of costs; and communicating on value for money and research impact.

Promoting research collaborations

Research managers can facilitate institutional and sector-wide collaborations and engage in a dialogue on respective goals and targets with university leaders, finance and human resources managers services, and faculty members. Collaboration offers possibilities to be more efficient in an increasingly competitive and resource-intensive university landscape. Research partnerships can be formed to achieve a competitive advantage and greater visibility towards funders and society through establishing thematic clusters as part of research profiling. On top of the main research goals, they often result in operational efficiencies that can be gained through collaborative procurement or shared access to research assets and infrastructure, among others.

Examples of such partnerships are quite numerous in Europe. For example, Irish universities successfully share research commercialisation resources and expertise through Knowledge Transfer Ireland (KTI). Furthermore, eight research intensive universities in the North England (N8 Research Partnership) share information and access to research equipment and major research facilities, provide guidance for equipment sharing, and develop related policy in the higher education sector, while promoting collaboration in two core research areas: Agri-Food and Urban & Community Transformation. Similarly, the Technical University of Graz and the University of Graz in Austria pursue a strategic partnership in the field of natural sciences (NAWI Graz) to engage in collaborative projects, jointly use infrastructure and operate core labs, train doctoral researchers and offer joint study programmes for bachelor and master's students.

The Laboratory Efficiency Assessment Framework (LEAF), developed at University College London in collaboration with several partners, offers a set of criteria through which single labs or institutes may be rewarded for good practice around sample management, equipment, procurement and waste, people, ventilation, and research quality.

Research managers play a key role in exploring new approaches to delivering on the university's research mission in a more efficient manner.

Further examples of such efficiency-generating partnerships can be consulted on the University Efficiency Hub supported by the USTREAM partners (www.unityhub.eu).

Ensuring cost-effectiveness of research partnerships

Furthermore, research managers can promote greater awareness and more effective management of costs which can be incurred through participation in calls for research proposals and competitive R&D projects. The related expenses can be reduced through a more focused approach to participation and research profiling.

In the EU context, low success rates for receiving funding under the major research and higher education programmes, such as Horizon 2020 and Erasmus+, push universities to reconsider and optimise their engagement and co-funding strategies to align with long-term institutional goals, including both research excellence and financial sustainability. In many countries in Europe, universities are supported in applying more effectively for EU funds. It is up to research managers to identify and exploit such opportunities individually for their institutions or jointly with other partners.

Communicating on value for money and impact of research

Research managers fulfil another important task related to communicating on socioeconomic value and impact of research to funders and other stakeholders. This can be done by means of value for money reports, which are commonly used by Irish and UK universities to report on the cost-effective achievement of their mission goals, or

intellectual capital reports.

Research portals provide another important communication channel that can be used to reach out to partners and stakeholders in an efficient way. For example, the German Rectors' Conference Research Map (www.forschungslandkarte.de) presents key research priorities of German universities to a broad audience to increase visibility and promote international collaboration.

Efficiency is an important topic for all research universities with great potential to liberate resources for R&D and innovation. It is a collective responsibility in that all institutional actors and research managers should play an active role in mobilising efficiency efforts in the research and innovation context. ■



Thomas Estermann is Director for Governance, Funding and Public Policy Development with responsibilities for European University Association's (EUA) work aimed at strengthening universities' autonomy, governance, management and their financial sustainability. Before joining EUA in 2007, he was Deputy Head of Strategic Development and Deputy Head of Administration at the University of Music and Performing Arts, Vienna. Prior to that, Thomas pursued a career as a lawyer. He can be reached at thomas.estermann@eua.eu



Veronika Kupriyanova joined EUA in 2016 as Policy and Project Officer and works on university funding and governance. Veronika worked in various project management and research positions at the World Bank, the EU Delegation to Russia, the Humboldt University in Berlin, the Vrije Universiteit Brussel, and the Academic Cooperation Association. She can be reached at veronika.kupriyanova@eua.eu

HURON POWERS THE FUTURE OF RESEARCH ADMINISTRATION

Addressing the unique needs of the world's leading research organizations:

- Huron Research Suite: Industry leading SaaS suite
- Huron Research Office: A strategic outsourcing solution
- Research Consulting for Compliance, Finance, Cancer, and IT



Improve financial
performance



Empower
research teams



Strengthen
compliance



Decrease
turnaround times

Learn more by visiting:

HuronConsultingGroup.com/Research



Reaching the Horizon of Clarity in Research Administration Roles & Responsibilities

By Kerry Peluso

Research administration is complex. Even at its most streamlined existence, the complexity of the administrative infrastructure necessary to support research remains significantly high. Understanding what everyone's roles and responsibilities are in the workflow of research administration is critical to ensuring that the administration of research can compliantly occur in the most efficient way possible. Unfortunately, many research administration infrastructures operate without clearly defined roles and responsibilities. This results in the duplication of efforts, the absence of functions that should occur, and confusion for everyone.

Well defined roles and responsibilities allow everyone to understand who is responsible for what and at what time. They allow us to ensure unnecessary redundancy is not occurring and understand why necessary redundancy may occur at points. We move to a world where people have a way to understand their role in a process, avoid unnecessary duplication of efforts, and where unnecessary "bureaucracy" can be eliminated. In addition, job satisfaction for all can increase because individuals clearly understand their role in the process.

However, trying to unravel the tangled web of who does what and who doesn't do what is a daunting task to say the least—particularly when you already have more work than you have time. However, if there is anything that has a high potential to give you and others back time as well as increase job satisfaction and customer satisfaction, it is clearly defining who does what.

Two key tools that can assist in understanding roles and responsibilities are *Workflow Maps* and *Roles and Responsibilities Matrices*. Often when facing the task of defining roles and responsibilities, groups gather some individuals into a room who will throw out a long list of the tasks involved in research administration. In the end, there is a list of many activities specifying who is responsible for each task. The problem is that in the end, the list ends up not adding much value. It is long, it has gaps, and it is hard to locate the task that I may need to understand better. It also doesn't recognize that each task may have multiple roles and individuals connected to it. In the end, the result may check the box that an institution has "clearly defined roles and responsibilities" but the impacts on productivity, efficiency and clarity are minimal or nonexistent.

So how do you develop something that actually can provide improvements to productivity and efficiency while creating clarity for those involved in the processes?

The first step goes back to remembering that research administration is complex. Rather than focusing on all of research administration, break your approach into areas of focus such as federal grants, federal contracts, clinical trials, private awards, etc. This breaks the project of defining roles and responsibilities into manageable subprojects and results in documents that are complete and specific rather than laundry lists that users struggle to understand or find value in.

From there, you need a team of individuals who actually do the work (usually different teams for the different focus groups makes sense). Each team should include representation from the different functional areas (department, central pre award, central post award, etc.). A room of managers is not the best strategy for this exercise. You will likely later

need managers to review what is occurring and evaluate where process modifications may be necessary, but your goal in mapping the workflow is mapping what happens, not what should happen or what managers feel is happening. The workflow should be mapped focused on key steps without diving too far into detail.

After this, a matrix can be built based upon the key steps identified on the workflow map. The matrix should dive further into each of the key steps. A strategy that works well for building this matrix is defining the responsibilities using RASCI. A search online can provide you with more information on this approach. The basic concept provides the opportunity to assign different roles to each responsibility (**R**esponsible, **A**ccountable, **S**upporting, **C**onsulted, **I**nformed). This clarifies the issue related to understanding that more than one individual holds responsibility for various tasks and defines the differing roles.

Repeating this process for each of your key focus areas will leave you with a mapped workflow and a roles and responsibility matrix for each focus area. The final steps are the most important steps - communication and ongoing maintenance. The documents need to be made available in a location where they are organized and accessible for all. A broad communication needs to announce that they are available and the benefits they can provide. Beyond that, there needs to be a plan for how communication and use will continue, how feedback will be gathered, and who will maintain the documents for each area. Over time, changes will occur and these will become dated, if not reviewed regularly. If communication does not continue, both use and value will diminish.

While this process can seem daunting, if done in mini-projects over several months, it can be realistically done and can have a tremendous impact on the productivity, efficiency and clarity of your research administration work processes. ■

This series of articles is based on NCURA's senior level workshop in research administration, The Practical Side of Leadership. The nationally recognized workshop faculty will present articles throughout the year on leadership theory/practice focusing on the practical aspects of leadership within research administration.

The next offering of the workshop will be September 8-10 in Scottsdale, AZ. For further details visit www.ncura.edu/travelingworkshops/SeniorLevel.aspx

Workshop Faculty

Joe Gindhart, Associate Vice Chancellor for Finance and Sponsored Projects, Washington University in St. Louis

Gunta Lidars, Associate Vice President for Research Administration, University of Rochester

Kim Moreland, Associate Vice Chancellor for Research & Sponsored Programs, University of Wisconsin-Madison

Kerry Peluso, Assistant Vice President for Research Administration & Finance, Florida State University

Pamela Webb, Associate Vice President for Research Administration, University of Minnesota

2019 NCURA Election Results



Rosemary Madnick, Executive Director, Office of Grants and Contracts Administration, University of Alaska Fairbanks, has been elected to the position of Vice President/President-Elect of NCURA. Rosemary has been an involved NCURA member for nearly 20 years, over which time she has served as the Chair of Region VI, a member of the Professional Development Committee, a member of the Nominating & Leadership Development Committee, and Co-Chair of the 2017 PRA Conference. Rosemary also served as Co-Editor for *NCURA Magazine*, went through the 2013 Executive Leadership Program, has served on several national conference program committees, and has presented at both regional and national conferences. Rosemary currently serves as a member of the Board of Directors, a Peer Reviewer, a member of the Select Committee on Peer Programs, and a member of the Fundamentals of Sponsored Project Administration Workshop Faculty. On being elected as Vice President/President-Elect, Rosemary says, "Words cannot express the gratitude for being elected Vice President/President-Elect by my colleagues. I am honored to serve and represent the organization by coming together, sharing together, working together, and succeeding together for the benefit of our membership. Thank you!"



Kris Monahan, Director, Sponsored Projects and Research Compliance, Providence College, has been elected to the position of Secretary. Since becoming an NCURA member in 2006, Kris has served on the Board of Directors, as Chair of Region I, as Chair of the Select Committee on Peer Programs, as an *NCURA Magazine* Co-Editor, and on the Education Scholarship Fund Task Force. Kris has been on many national and regional program committees, including serving as Co-Chair for the 58th Annual Meeting. Kris also established the Region I Emerging Leader's Institute during her time as Region I Chair. On being elected as Secretary, Kris says, "I am deeply humbled and honored to serve NCURA as the incoming Secretary. NCURA provides a plethora of services and support to research administrators around the globe. Joining the Executive Committee is a privilege I am thankful for and a commitment that I will fully embrace. Thank you to the membership for their confidence in my ability to serve them and NCURA in this way."



Cathy Snyder, Director, Vanderbilt Costing Activities, Office of Contract & Grant Accounting, Vanderbilt University, has been elected to the position of Treasurer-Elect. Since joining NCURA in 1996, Cathy has served on the Board of Directors, served on the Financial Management Committee, the Nominating and Leadership Development Committee, and as Treasurer of Region III. Cathy was Co-Chair of the 56th Annual Meeting, Co-Chair of the 2009 FRA Conference, and has been on several regional and national program committees. Cathy also went through the 2011 Executive Leadership Program. On being elected as Treasurer-Elect, Cathy shares, "I am truly honored and excited for the opportunity to serve as NCURA's next Treasurer-Elect/Treasurer. I look forward to working with everyone to ensure the continued success of NCURA and the professional growth of its membership. Thank you!"



Erin Bailey, Chief Financial Officer, Clinical and Translational Research Institute, University at Buffalo, has been elected to the position of At-Large Board Member. Since Erin joined NCURA in 2006, she has been involved at both the regional and national levels. Erin served on the 60th Annual Meeting Program Committee and has served on several other regional and national program committees. Erin served as both Chair and Treasurer for Region II, has written several articles for *NCURA Magazine*, and went through the 2017 Executive Leadership Program. Erin is currently a Faculty member for the Financial Research Administration Workshop. On being elected to this position, Erin expresses, "I am honored and privileged to have the opportunity to serve NCURA as an At-Large Member of the Board. I look forward to working with our excellent board and NCURA's membership as we all work together and continue to fulfill the mission of this wonderful organization."



Bryony Wakefield, Workstream Lead: Service Model | Access | Experience, Research Office, University of Melbourne, has been elected to the position of At-Large Board Member. Bryony has been an involved NCURA member for the last 11 years, over which time she has served as the Chair of Region VIII, a member of the Education Scholarship Fund Select Committee, and a member of the Board of Directors. Bryony served as Region VIII's Volunteer Coordinator, co-authored the International Research Collaborations online publication, as well as several *NCURA Magazine* articles. Bryony has served as host for the NCURA Fellowship Program and has presented at several national and regional conferences. On being elected to this position, Bryony shares, "Thrilled and honored to be elected. Thank you. Particular thanks to my nominator, Craig Reynolds, for his encouragement. I look forward to working with the NCURA community and fellow board members."

Both Bailey and Wakefield will begin serving January 1, 2020 for a two-year term. Madnick will take office January 1, 2020 for one year after which she will succeed to a one-year term as President of NCURA. Snyder will become Treasurer-Elect on January 1, 2020 and will serve for one year after which she will succeed to a two-year term as Treasurer. Monahan will take office on January 1, 2020 and will serve a two-year term.

The OIG and Research Funding —

What to Expect

By Ken Lish

Role of Inspectors General

The Inspector General Act of 1978 established the Offices of Inspectors General (OIG) and outlined their roles, duties, and powers. OIGs provide independent and objective oversight of their agencies and are tasked with three broad purposes:

- 1) to conduct and supervise audits and investigations relating to the programs and operations of their agency;
- 2) to provide leadership, coordination, and recommended policies for activities designed to promote economy, efficiency, and effectiveness, and to prevent and detect fraud and abuse; and
- 3) to communicate to agency heads and Congress regarding problems and deficiencies relating to the administration of agency programs and operations.

To maintain their independence, OIGs do not engage in the management or operations of an agency. Likewise, agency management may not direct or impede activities of an OIG.

NSF OIG in the Research Community

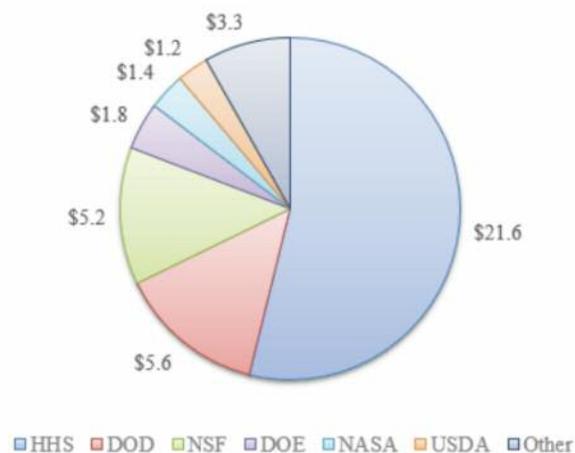
The National Science Foundation's (NSF) core function is to invest in basic research, instrumentation, and facilities to promote the progress of science; it is the third largest provider of federal funding for higher education research and development (see Figure 1). As such, NSF OIG is very active in the research community. Although the Department of Health and Human Services (HHS) and the Department of Defense (DOD) provide more funding than NSF, both have other missions beyond supporting higher education research and development.

To promote efficiency and effectiveness in NSF's programs and operations, NSF OIG assesses internal controls, financial management, information technology, and other systems that affect the operation of NSF programs. NSF OIG is also responsible for providing oversight of the research community that receives funding from NSF in the form of grants, cooperative agreements, and contracts. To put that responsibility into perspective, in fiscal year 2018, NSF received an appropriation of \$7.8 billion; funded 1,800 colleges, universities, and other organizations; funded 11,700 competitive awards; and directly supported an estimated 386,000 personnel including researchers, postdoctoral fellows, trainees, teachers, and students. To accomplish its mission, NSF OIG employs auditors, investigators, scientists, and other specialists. It also contracts with independent public accounting firms to provide audit and investigative services. Of the nearly 70 NSF OIG employees, 28 work for the Office of Audits.

NSF OIG's New Approach to Auditing

To maximize its limited resources, NSF OIG has established new approaches for conducting audits that are focused internally on agency operations and externally on the research community. First, for internal audits focused on improving NSF operations, NSF OIG has established a new approach that incorporates audit steps at organizations receiving NSF funds. To best assess the efficacy of NSF's guidance, it is necessary to observe how the research community implements the policies that NSF promulgates through its various guides and resources. In situations like this, NSF OIG auditors will conduct fieldwork and audit testing at select NSF-funded institutions to evaluate if those institutions are implementing NSF's guidance as intended. This helps identify if organizations are consistently applying NSF's guidance throughout the research community and if the guidance is achieving NSF's intended results. For example, NSF OIG is currently conducting an audit to identify the federal- and NSF-specific criteria that apply to awardees with government-owned equipment and assess NSF's controls for ensuring that awardees comply with those criteria, including tracking, reporting, and disposition requirements. This approach has improved internal audits by more accurately quantifying the effectiveness of NSF's policies. For further information on NSF OIG's planned audit work, the 2019 Audit Plan can be found at the following location: www.nsf.gov/oig/_pdf/Audit_Plan_FY19.pdf.

Figure 1. FY 2017 Higher Ed R&D Expenditures (Billions)



Source: NSF, National Center for Science and Engineering Statistics, Higher Education Research and Development Survey, FY 2017. <http://ncesdata.nsf.gov/herd>



Figure 2. External Audit Process

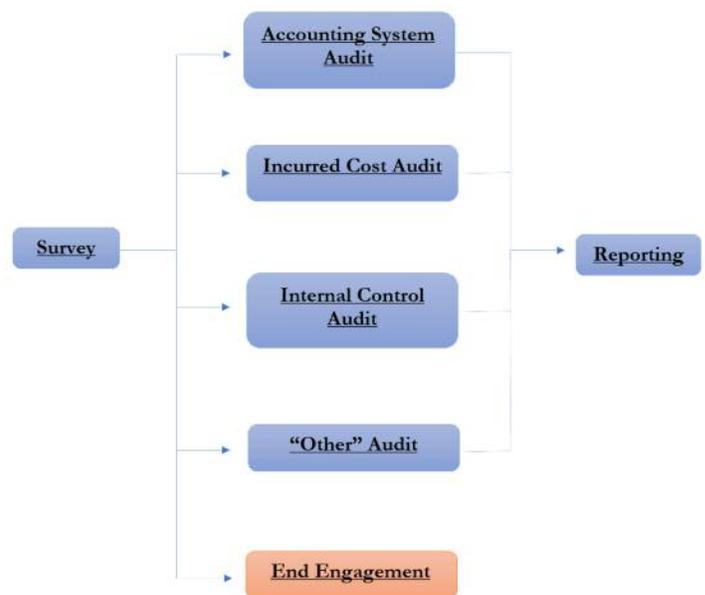


Figure 3. Audit Model Comparison

Old Audit Model	New Audit Model
Audit Work Oriented Toward Transaction Testing	Audit Work Oriented Toward Individual Institutional Risks
Structured Audit Approach	Flexible Audit Approach
Focus on Unallowable Costs	Focus on Root Causes of Noncompliance

Second, for work that is externally focused on the research community, NSF OIG has implemented a new audit approach to better assess and address the unique risks identified at each institution (see Figure 2). As outlined in the August 2018 issue of this magazine in an article titled, “We’re In This Together! – Volume II,” every audit under this new process will start with a survey phase so the auditors can become familiar with the auditee’s overall grant management environment. Once the auditors conclude the survey phase, they will assess the strengths and weaknesses of the auditee’s grant management environment and determine the next steps. Paths forward include initiating an accounting system audit, incurred cost audit, internal control audit, or customized audit based on identified risks — or, if it is determined that the auditee has an exceptional grant management system, terminating the audit. This approach will help ensure that both NSF OIG and auditee resources are used in the most effective and impactful manner possible.

Although NSF OIG has already implemented this new methodology and is utilizing it in current audits, there are still a few ongoing audits structured under the prior audit methodology. The prior audit methodology used a very structured approach and focused entirely on evaluating the allowability of costs (see Figure 3). Every audit included data-analytics to identify a sample of at least 250 transactions associated with all draw-downs from NSF awards over a three-year audit period. While the new methodology will provide increased flexibility, a greater focus on the root-causes of audit findings, and a better approach to addressing the unique risks at each auditee, the auditors will still be cognizant of the most common areas of noncompliance that have been consistently identified throughout the past several years.

Common NSF OIG Audit Findings

The two most common areas where NSF OIG has consistently identified instances of noncompliance include travel and spending funds near award expiration.

Travel Findings

When reviewing travel expenditures, it is important for organizations to not only judge the expenditure against the government’s travel regulations and the organization’s travel policies, but to also apply broader allocability and allowability criteria as well. The need to review and apply so many rules to common expenditures provides many opportunities for errors, oversights, misunderstandings, and misinterpretations. The bullet points below highlight a few important considerations to take into account when

reviewing and approving travel expenditures funded by NSF grants:

- Auditors have often identified Principal Investigators who charged travel costs to awards that have extra funds available and are nearing expiration rather than charging the costs to the award(s) that truly benefited from the travel. For this reason, it is important to ensure supporting documentation clearly illustrates that the travel was necessary, reasonable, and benefited the award charged, especially if the travel takes place near the end of an award.
- It is important to ensure travel costs are supported by source documentation. Travel costs that either are not supported by documentation (e.g. receipts) or are supported by illegible documentation will result in questioned costs.
- Business and first-class airfare will always receive extra scrutiny from auditors. The Uniform Guidance provides specific exceptions where business and first-class airfare is allowable, but the organization must clearly document the existence of one of those exceptions within the applicable supporting documentation. In many circumstances, awardee organizations either do not question travelers on the need for business or first-class airfare or neglect to document which specific exception under the Uniform Guidance makes the excess airfare costs allowable.

- The NSF Proposal & Award Policies & Procedures Guide (PAPPG) states travelers must comply with the Fly America Act. The Fly America Act requires travelers to use United States carriers if they are traveling on funds provided by the federal government. This is an often-overlooked requirement when Principal Investigators and other grant personnel travel internationally.

Spending Near Award Expiration

Costs that are incurred near the end of an award are often allowable and necessary. However, these costs will always receive extra scrutiny from auditors to ensure organizations are not using surplus funds on items that either are not necessary or do not benefit the award. The bullet points below highlight steps auditors will conduct when reviewing these expenditures, as well as best practices that have been observed throughout the research community:

- When conducting their evaluation, the auditors will first ensure the costs are allocable to the award. For example, if the organization purchased equipment, the auditors will confirm the equipment benefited the award the organization charged.
- Second, the auditors will verify the costs were necessary and reasonable for the administration and performance of the award. For example, if the organization purchased a new computer in the final week of an award, the auditors will review all available information to determine whether it was reasonable and necessary to make that purchase. This is why it is of the utmost importance for organizations to retain strong supporting documentation and to review all such expenditures with a skeptical eye.

- The Uniform Guidance defines a reasonable cost as one that a “prudent person” would have made under similar circumstances. Because of the subjectivity of this criteria, this is an area where there is often disagreement between auditees, auditors, and NSF staff responsible for resolving audit findings. Taking an approach of professional skepticism when reviewing these types of purchases will help avoid questioned costs.
- Over the course of several years and dozens of audits, NSF OIG has observed best practices in this area include providing extra scrutiny over costs incurred in the final months of an award and ensuring supporting documentation not only illustrates that a cost was incurred, but also clearly demonstrates the cost was allocable, reasonable, necessary, and benefited the award.

Audit Resolution

Although the audit ends once the final audit report is issued, the audit findings still need to be resolved. NSF’s Resolution and Advanced Monitoring (RAM) Branch is authorized by the Chief Financial Officer to resolve most of NSF OIG’s external audit reports. Upon receipt of the final report, RAM formally issues the report to the auditee, along with a letter that provides information on what to expect next in the audit resolution process.

RAM reviews all findings and recommendations in the report, including the auditee’s response and auditor work papers provided by NSF OIG. Using the information gathered, RAM develops initial determinations and issues them in writing to the auditee, allowing at least 30 days for a response, and shares them with NSF OIG to ensure both offices have the same information.

NCURA Publications
Available Exclusively

ONLINE



ADMINISTERING RESEARCH CONTRACTS

AUTHOR:
DAVID MAYO, *California Institute of Technology, NCURA Distinguished Educator*

HOW TO MANAGE A FINANCIALLY FOCUSED UNIVERSITY RESEARCH AUDIT EFFECTIVELY

AUTHORS:
ASHLEY DEIHR, *Baker Tilly*
KIMBERLY GINN, *Baker Tilly*
JEFFREY SILBER, *Cornell University*

IMPROVING EFFICIENCIES: ASSESSING THE SPONSORED RESEARCH OPERATION

AUTHOR:
PEGGY LOWRY, *Emeritus Director, NCURA Peer Programs, Oregon State University, Emeritus*

INTERNATIONAL RESEARCH COLLABORATIONS

AUTHORS:
MARTIN KIRK, *King’s College London*
JEREMY T. MINER, *University of Wisconsin-Eau Claire*
ARA TAHMASSIAN, *Harvard University*
BRYONY WAKEFIELD, *University of Melbourne*
MARIANNE R. WOODS, *Johns Hopkins University*

A PRIMER ON EXPORT CONTROLS

AUTHORS:
JESSICA B. BUCHANAN, *University of Pennsylvania*
ELIZABETH D. PELOSO, *University of Pennsylvania*

Download a copy today at NCURA’s Online Learning Center: <https://onlinelearning.ncura.edu/read-and-explore>

Every organization that receives federal funding plays an important and vital role in ensuring proper stewardship of taxpayer dollars.

To determine correct management decisions, RAM researches NSF systems thoroughly to obtain a complete understanding of terms and conditions, policies, regulations, and specific circumstances for awards where costs have been questioned. RAM also collaborates with the auditee, NSF OIG, program officials, grants officers, and cognizant federal agencies as needed. NSF's Chief Financial Officer reviews all drafted management decisions before sharing them with NSF OIG for consensus. If NSF OIG disagrees with or requests clarification of the draft management decisions, NSF and NSF OIG discuss the issues. If the organizations agree on the decisions, RAM formally issues the management decisions in writing to the auditee. If the organizations continue to disagree, NSF OIG may escalate disagreement(s) to the NSF Audit Follow-Up Official, who will make the final decision. RAM then issues the management decision in writing, based on the Audit Follow-Up Official's determination. The coordination and cooperation of the auditee, NSF, and NSF OIG is vital to the overall stewardship of taxpayer funds.

The Importance of Shared Stewardship

Every organization that receives federal funding plays an important and vital role in ensuring proper stewardship of taxpayer dollars. Organizations

that receive federal funding through grants, contracts, or cooperative agreements must ensure they are complying with all applicable federal regulations and are making responsible decisions with the use of taxpayer funds. With NSF funding 1,800 organizations annually, it is important each organization take its responsibilities for proper stewardship of taxpayer funds seriously. In times of tight budgets and fast news cycles, it only takes a few bad actors and negative stories to have a meaningful and negative impact on the entire research funding landscape. The public's confidence in federally-funded scientific research is undermined when funds made available for such research are misused. Consistent with NSF OIG's dual mission to prevent and detect fraud, waste and abuse, and to promote economy and efficiency in NSF's programs and operations, NSF OIG auditors and investigators work diligently to identify situations where federal funds have been used inappropriately and to recover such funds when necessary. By operating as an independent and objective organization focused on providing oversight of NSF and its awardees, Congress and taxpayers have greater confidence that public funds are being used efficiently and effectively. ■



Ken Lish, CPA, CFE, MBA, is the Acting Director for the Contract Grant Audits team in the Office of Audits at the National Science Foundation. He is responsible for overseeing NSF OIG audits of NSF award recipients. Ken joined the NSF OIG in 2009. He can be reached at klish@nsf.gov

Research Administrator Day
How will you celebrate?

September

25

NCURA
Supporting Research...together™

What Executive Management Needs to Know About the F&A Proposal

By Mira L. Levine and Darryl Lim

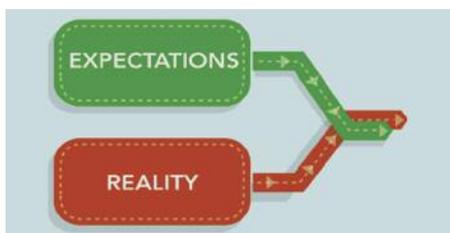


There are many ways to approach determining what management for your particular institution needs to know about the Facilities and Administrative (F&A) Proposal and planning for your upcoming base year. Before you begin, there are several details particular to your institution that need to be addressed.

First, who is considered executive management at your institution? Does it include the highest level such as the University president? Does it also include the Chief Financial Officer and the Vice President of Research? In some institutions, it can also be the Controller as well as some or all of the Academic Deans.

Why does it matter who is included in the management discussion? Because each of these people represent a different constituency at your institution and could perceive F&A in different ways. It is a must to work on closing the gap between expectations and reality.

For example, the Vice President of Finance might be concerned with the overall funding picture as well as the impact of the staff workload during the F&A Proposal process, while, the Vice President of Research will need to balance what the potential for an increase in the F&A rate might mean to an overall budget, the



distribution of the indirect cost rate recovery (to be covered in more detail later in the article) and the desire of the Principal Investigators (PIs) to keep the F&A rate low in order to maximize the amount of direct costs they can charge on the sponsored award. The Vice President of Finance and Controller are also concerned with controlling costs in light of the F&A administrative cap and increase in unfunded research administrative mandates

This can present a conundrum for the individual in charge of the F&A Proposal process in that they must answer and be responsive to different executive managers with differing needs and agendas throughout the F&A Proposal process. So that, brings us to YOU!

Second, what is your role in the F&A Proposal process, were you involved in the process during the last F&A cycle? Were you involved in any or all of the following major roles: project planning and management, communications, data collections, analysis and presentation? If you are the F&A project lead, were all these major roles under your supervision or did you have to coordinate with different supervisors?

Third, what is in your tool kit? Where will the information come from? Your established relationships with the defined executive management team above will become very important in building your team and building trust with executive management. What else would build trust? Your F&A knowledge, your project plans for the F&A project, your knowledge of the institution's financials and the grant systems supporting your organization.

So, now that you know who executive management is, what your role is, and what is in your tool kit, that brings us to our last point, how will you communicate information to executive management? Presentations can be made to various stakeholders in the process, emails should be sent out often providing highlights and updates on the project, and project management plans should be shared with those who need to know. Any roadblocks for the F&A projects should be communicated early to executive management, as they do not like surprises.

In regards to F&A communications, F&A professionals are well versed in F&A terminology and Uniform Guidance language. But the key to communicating to executive management is the ability of the F&A professional to communicate the complexities of the process in clear simple language. There is a saying that the definition of genius is taking the complex and making it simple. This holds true with communicating with executive management and the campus community. F&A professionals need to make sure communications are clear and simple and not carried away with too much F&A jargon and complexities.

And a final note on what information executive management should be informed about. If you have not already done one, do a post (mortem) negotiation summary of your F&A Proposal. Things that went wrong may indicate a need for more resources or a change in execution.

CASE STUDY University of California- San Francisco (UCSF) F&A communications to Campus Community

Who: CFO Forums, Provost Newsletters, YouTube video, UCSF F&A Primer

What: High Level Overview of Prior Proposal – Strengths and Weaknesses, in particular if additional resources are needed to fix the weaknesses. Needs for additional staff, better software, outside consultants are addressed early.

What: Fixing System Issues – Prioritize which are most important and need to be done first or may have a multi-year time frame. For example – need to get a new space inventory and survey system prior to the next proposal; executive management needs to get the additional resources and possibly personnel or contracts hired – needs to happen now.

What: Fixing Other Issues – Were there problems with the data sets and matching data elements such as building, department and room numbers? How successful was the equipment by room matching? Opportunities to increase the rate can be dealt with before the base year.

When: Strategic Planning for the Base Year – Get on the radar of executive management early, starting before the base year ends. Schedule a meeting for January of your base year (June 30 FYE). Share the results of the post mortem of the prior proposal and results of the practice year proposal. Provide updates and timeline of how the issues and proposal weaknesses noted above will be remediated. Then, set the stage for the current base year.

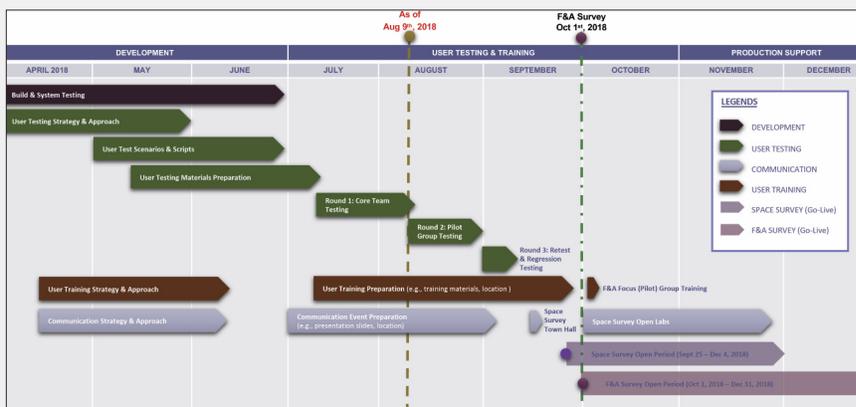


How: The Details of When – F&A Proposal and Space Survey Processes – Provide a timeline for the project (at a more detailed level than the high level overview, noted above). Draw attention to where you will need support.

Sample F&A Project Timeline

ID	Task Name	Half 1, 2017				Half 2, 2017				Half 1, 2018				Half 2, 2018												
		N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N
1	1. Assessment and Planning																									
2	Finalize project timeline																									
3	Discuss and clarify roles and expectations																									
4	Discuss data requirements for space survey																									
5	Schedule regular conference calls and meetings																									
6	Meet with Executive Management Team																									
7	2. Space Survey																									
8	Acquire data: space, payroll, floor plans																									
9	Determine survey participants, schedule training																									
10	Complete training, launch survey																									
11	Ongoing survey support: emails, calls, on-site visits																									
12	Post survey: space analysis, identify weaknesses, correct issues																									
13	3. F&A Cost Rate Development																									
14	Upload financial and asset data into CRIS																									
15	Review and scrub all funds/ accounts, F&A and direct																									
16	Review and revise operations and maintenance pools																									
17	Review interest charges																									
18	Establish allocation tables																									
19	Fix step-down errors																									

Sample Space Survey Timeline



How: What are the Space Survey specifics facing UCSF for their upcoming FY2020 Base Year.

UCSF – F&A Space Survey Development

Background

- Last F&A space survey 2010
- 2014 used FTE allocation method

Issues:

- New Space Management System in 2014
- Not wanting to introduce new system for F&A space survey
- Build F&A space survey module with the existing space management system
- Started the project in 2016, with delays in 2017
- Team consisted of personnel from Costing, Space, Project Management Office, and an outside developer
- Go live in fall of 2018 with a modified space survey before base year
- In 2019, based on modified space survey results and feedback from users, enhanced space survey processes and space management system before base year
- Base year in 2020

In summary, it is now time to get moving on the tasks you set forth above while keeping your communications to Executive Management fluid. How often will you give them updates? Does your timeline have enough flexibility for adjustments based on issues that come up and executive management’s change in the focus or direction of the project? You as project manager must be the gatekeeper of the timeline to ensure the F&A proposal with best and most defensible rate is submitted on time.

Good luck and remember the more communication with executive management, the more likely you will be able to mitigate the effect of any surprises in the process and the rate and the more trust you will be able to build with your executive management.



Mira L. Levine, CPA, is a Senior Manager with MAXIMUS Higher Education Practice. After having served 8 ½ years at George Mason University as the Director of Cost Accounting and Internal Controls, she joined MAXIMUS in May 2012 where she specializes in preparing Facilities and Administrative (F&A) Cost Rate Proposals, Fringe Benefit Proposals, Proposal Diagnostic Reviews, Space Survey Training and Analysis, and Rate Negotiations. She can be reached at Mira.Levine@Maximus.com



Darryl Lim is the Director of Costing Policy at the University of California, San Francisco (UCSF). UCSF is a large biomedical research and academic health institution with over \$1 billion dollars in grants and contracts. Darryl’s responsibilities include the development and negotiation of UCSF’s facilities and administrative (F&A) rate proposal and managing cost recovery policies and analysis for UCSF. He can be reached at Darryl.Lim@ucsf.edu

Emerging Role of Research Administrators for Faculty Development

By Jintao Bao

Faculty development as a priority for research administration

One of the priorities for a world-class university is to accelerate the growth of young faculty members and to foster a number of prominent scholars in the vanguard of novel and cutting-edge research. Faculty development services provided by the Office of Scientific Research (OSR) at Peking University (PKU), such as finding funding, proposal development and coordination of collaboration with other institutions, play an essential role in facilitating faculty members in achieving their academic success.

National Natural Science Foundation of China (NSFC) is the main funding agency for basic research in China. NSFC has Talent Training Programs, which include the Excellent Young Scientists Fund (EYSF, male under 38, female under 40) and the National Science Fund for Distinguished Young Scholars (DYS, any gender under 45). EYSF and DYS have been regarded as the most distinguished programs for young scholars in China. With an ever-increasing number of applicants each year, the approval rate for the two programs has decreased to nadirs of 7.4% and 6.7% in 2018, respectively. Data analysis reveals that all academicians (under the age of 50) elected to the Chinese Academy of Sciences in recent years have been granted by DYS program before. In addition, nearly 45% scientists granted by DYS program last year had been awarded with EYSF funding



before. Considering the significance and high competition of these two programs, every institution makes every effort to help their young scholars get the funding every year. So far, 142 faculty members at PKU have been awarded as EYSF and 258 as DYS, which leads all research institutions in China.

Faculty development services in the application process of talent programs

During the application process both of the two talent programs follow a merit review process. More specifically, each proposal will be reviewed by a panel of experts who will decide whether or not the candidate can enter the defense review. Then the experts will vote to decide who will be awarded. Throughout the process three stages are critical: the pre-proposal stage, the proposal development stage and the defense review stage. The OSR at PKU provides faculty development services to young scholars in these three stages to maximize the success rate of the applications.

- 1) In terms of the pre-proposal stage, we actively contact NSFC project directors to ensure the latest application policies in the current year are well understood. Then a workshop will be organized to convey the key points to the applicants at PKU in time. Meanwhile we communicate with our faculty to encourage and mobilize competent candidates to apply actively. The workshop is usually held both on the PKU main campus and in the Health Science Center with about 500 attendees for each event.
- 2) For the proposal development stage, given our prior experience, we organize the departmental research secretaries to identify obvious defects of the proposals on content logic and normative form to ensure the proposals are well-written in accordance with the principles and criteria. At the same time, we spend 2-3 days with applicants to figure out the proposals' problems by using one-to-one consultation. Furthermore, the department is encouraged to invite senior experts (especially those who have been awarded the similar programs) to propose corresponding amendments for each applicant from the academic perspective, mainly on the background, critical scientific questions, demonstration of the past work, future work plans, etc.
- 3) For the defense review stage, we collaborate with the relevant departments to organize multiple consultation meetings to simulate on-site meeting review process for the candidates. Experienced experts will be invited to challenge the applicants by putting forward



The Road to Serendipity

A new job within the same institution often causes a reevaluation of one's mission as a research administrator.

With a growing number of centers charged with launching university technology toward the commercialization process and out to the public for the general good, there has been an increased emphasis on translational research. PowerPoint training slides that once began with a researcher having an idea, illustrated with a simple light bulb, have been replaced or at least supplemented by development teams and outreach efforts that aim to direct the researcher's expertise at an almost strategic scope with commercial potential. This shift appears to leave basic research or what is sometimes viewed as a "fishing expedition" in the shadows.

Many of us have heard stories about how an invention actually came to fruition through an unexpected turn of events. It is one of the reasons we contractually protect our university's contributions in any intellectual property we develop conducting sponsored research. Using carefully defined terms, we are able to allow for any number of developments under a contract and ultimately, respect the serendipitous event that may lead to a patentable invention.

For university centers of innovation to serve as catalysts for the research process and move technology toward commercialization, we must be nimble. We have to work at the speed of business to secure industry interest and sponsorship. This requires introductions, whether they amount to anything or not. Brainstorming sessions are an almost daily occurrence. Meetings are structured, but it is understood that any idea may have value or lead to another idea that has value. One could argue this new, innovative approach is the administrative version of a fishing expedition. Thankfully, we've learned from our faculty that one never knows what may result.



Chris Abernethy is an Industry Contract Officer in UCI Beall Applied Innovation at the University of California, Irvine. Chris can be reached at cabernet@uci.edu

an array of tough questions about their presentation. Meanwhile, useful tricks are always introduced to the candidates so that they can perform in a better way. According to the feedback of the previous applicants, these consultation meetings tremendously enhance their confidence in the on-site defense review and actually increase the final approval rate to some extent. In 2018, 21 consultation meetings had been organized for 42 candidates who applied for EYSF and DYS programs and 29 of them were successfully granted in the end.

Facilitation interdisciplinary research for young talents

In addition to providing professional and targeted services during merit review process of important talent programs, the OSR pays great attention to organize essential-skill training workshop in daily work. Taking the application of the EYSF program as an example, we actively hold inter-department workshops, including the affiliated hospitals of PKU. In the workshop, in addition to providing training on application skills, another objective is to fully understand the basic needs of researchers

"One of the priorities for a world-class university is to accelerate the growth of young faculty members..."

in their scientific research work, which would make it easier for us to provide faculty development services more professionally and precisely in the future.

In the meantime, the OSR facilitates mentorship for young talents in diverse subjects, such as finding proper funding, proposal development, broadening impacts, budget planning, cost management, cooperation with other institutions, etc., which may speed up the growth of outstanding young talents. In 2018, we jointly arranged 12 workshops with 17 departments and 102 young scientists participated in the training sessions.

In addition, we've been cooperating with the Human Resources Office, Discipline Construction Office and Health Science Center to provide more communication opportunities for young talents and to promote the development of interdisciplinary research. In certain fields, such as brain science, artificial intelligence, biomedicine and other fields with obvious interdisciplinary characteristics, young scholars from different departments who are extremely familiar with the field are frequently called together to introduce their research fields and to exchange their opinions on novel issues. A doctor in the department of pediatrics at PKU First Hospital met with her collaborator, an expert in bioinformatics, in one workshop held last year by sharing ideas about her future work and the current challenges. They inspired each other by sparking ideas and jointly applied for the NSFC's general program in this year. We hope that more practical cooperation among our young talents in diverse backgrounds and disciplinary areas will be spurred through our efforts in the future. ■



Jintao Bao, PhD, has been working as a research administrator for three years and is currently the Deputy Chief of Division for Basic Research, OSR, at Peking University, China. He can be reached at baojintao@pku.edu.cn

Electronic Lab Notebooks:

Exciting Potential or Compliance Nightmare?

By Cindy Rodenburg

The lab notebook is a critical component of the research enterprise. The notebook acts as insurance against accusations of fraud or misconduct but also holds all of the secrets, hopes, ideas, and successes of each scientist. Such an important document should be included in data sharing, archiving, and be subjected to guidelines pertaining to records maintenance and retention. Sounds easy enough, so what's the problem? With new graduate students being predominantly from the tech-savvy millennial generation, electronic lab notebooks (eLNs), are increasingly popular as a means of recording lab notes. Their ease of use, legibility, and ability to be easily searched and shared with other members of a research team make the eLN an attractive alternative to traditional paper notebooks (Ryan, n.d.). However, the potential for security breaches brought about by the use of unapproved eLN applications or freeware demands careful review before campus-wide adoption of an eLN system. Designing comprehensive policies and logical implementation plans will be key to the future of compliant electronic research documentation.

The Three Types of Lab Notebooks

Notebook Types	Advantages	Disadvantages
Bound/Stitched notebooks (Traditional)	<ul style="list-style-type: none"> No lost pages Legally stronger, a trusted method in protection against allegations of fraud or misconduct Difficult to hack into Can be organized by experiment 	<ul style="list-style-type: none"> Many are completely illegible Difficult to copy, scan, and share with other research team members Not logically organized by experiment or project, scientists must record events in chronological order
Loose Leaf Binder	<ul style="list-style-type: none"> All related notes and experimental data can be stored together according to project (film, gels, purification results) Easy to use/intuitive platforms 	<ul style="list-style-type: none"> Higher risk of sheets falling out and getting lost Sheets can be removed deliberately making authentication of the data within that notebook difficult to prove as not having been altered
Computer/Electronic (increasing popularity)	<ul style="list-style-type: none"> Customizable platforms Easy to search/read Digital data is easier to store and share by request Metadata embedded Can accept scanned files of previous paper notebook information All notes and data can be grouped by experiment/project 	<ul style="list-style-type: none"> CAN BE HACKED providing the intruder access to all systems within that group Requires more advanced IT security Requires frequent backups of digital information Files can become corrupted Software upgrades and compatibility issues between different types of software

Adapted from (Denny-Gouldson, 2016)(Ryan, n.d.)

The Lab Notebook and its Role in Research

Investigators are required to submit data management plans (DMPs) with grant proposals and ensure that copies of publications and the associated data are deposited as required by the granting agency. Data management includes all phases of the data lifecycle. Handwritten lab notes are considered a “data product,” and therefore, a vital component of any data management plan (Olafson & DiBella, 2015). A lab notebook is considered by the NIH to be:

- A complete chronological record of experiments.
- An explanation of why experiments were initiated, how they were performed, and the results.
- A legal document to prove patents and defend your data against accusations of fraud.
- A collection of thoughts to pass on to future lab members (Ryan, n.d.).

Most labs still rely on paper notebooks for recording data and documenting potentially valuable intellectual property. Lab notebooks are legal documents, and if, for instance, research leads to the issuing of a patent, a detailed notebook can help protect against false claims to intellectual property. Since 2013, the U.S. has operated under a first-to-file-patent system, but a detailed (time-stamped) lab notebook can help if controversy arises (Denny-Gouldson, 2016). Despite their legal status and inherent importance to research, these notebooks are often neglected, illegible, and the data is not easily searchable. Incomplete or indecipherable notebooks can also create legal issues if the university is called upon to investigate a charge of misconduct.

Compliance Records and Horror Stories

Because the technology is still relatively new and not widely implemented (34%) (Sayre, 2017), there are few examples of non-compliance related to eLN use. However, there are numerous instances of non-compliance or procedural failures where traditional lab notebooks are concerned. Examples include:

- 1) Maintaining experimental records on sticky notes until they can be transferred at a later date to an actual notebook. In some cases, these notes are only taped into place. This practice is not acceptable according to §§ 211.100(b), 211.160(a), and 211.180(d). (Tachibana, 2014)
- 2) At an Australian university, 30 years of notebooks became a pile of loose pages after the bindings crumbled during relocation (Tachibana, 2014). An example of § 212.110(b) (requiring that data be “stored to prevent deterioration or loss”).
- 3) In the United States, a postdoc spent days combing through three-ring binders for experimental details requested by reviewers (Tachibana, 2014). This scenario illustrates the loss of revenue or additional effort required to meet the data sharing guidelines for NIH and NSF when data is not cohesively maintained or readily available.
- 4) Data integrity: Keeping all lab notebook entries clear and legible is a recurring challenge for many scientists. Bad handwriting is commonly cited as an avoidable obstruction to research (Denny-Gouldson, 2016). Misinterpretation of illegible data can be seen as reporting misleading or inaccurate findings. While not a deliberate act of falsification, attempts to reproduce these results by others can have far-reaching and unpredictable consequences (National Academy of Sciences, National Academy of Engineering, Institute of Medicine, 2009).

Compliance with the requirements put forth by the FDA (21 CFR part 11), NSF, NIH, and university legal departments all point to a need for uniformity or standardization of research notebooks in our efforts to be more transparent and to maintain the public trust. Retention times for these notebooks are an additional consideration. Retention times differ depending upon the funding source, if the data was published, and if there was a research integrity investigation connected to the data. Lab notebooks and other results would be sequestered away from the lab in these cases. Paper notebooks must be protected from damage, security breaches, manipulation, or theft. Typical retention rates are between 3-7 years, but in the case of secondary publication or investigation of data integrity, that total can be extended for decades (P. Bounelis, personal communication, June 9, 2017) (Steneck, 2007).

"Backdoor" coding would enable any nefarious hacker to, at minimum, delete all of your results and, at worst, steal valuable intellectual property.

Implementation

The significant barriers for going digital are cost, the activation energy required to change work habits, and the daunting number of options (Giles, 2012; Tachibana, 2014). The financial consequences of introducing an eLN are not limited to obtaining software licenses with dedicated servers, backup systems, and IT staff. eLNs may add new error sources and security risks that did not exist for paper notebooks (Nussbeck et al., 2014).

Convene a policy committee including research support personnel in deliberations. Technical support staff knows what works and what doesn't in their labs. Create guidelines and policy on the use of eLNs at your university using other universities' practices as a roadmap (eLN software must be approved by IT; how to implement and standardize eLN use; restrictions on personal devices used for these applications). Engage medical library in training of staff, faculty, and students. You may want to include beta-testing in selected research labs.

Questions that should be addressed

1) Is a written policy necessary at each university regarding the adoption of eLNs campus-wide?

One of the purposes of keeping a detailed notebook is to protect the researcher, lab, and university from allegations of fraud. To that end, no matter what type of notebook is kept, specific essential guidelines must be followed (Ryan, n.d.). The final word on the issue of who determines how a notebook is to be kept is left to the discretion of the principal investigator. It is his or her responsibility to ensure compliance for the collection, documentation, storage, and security of the data, records, works, and information resulting from his/her research and scholarly activities (Ryan, n.d.). Many universities have guidelines for data collection, documentation, and storage, including information about the critical issues of storage and thorough documentation of electronic data but no guidelines pertaining to the use or approval of eLNs in the research lab. The

University of Wisconsin - Madison and the University of Utah have extensive support services encouraging the use of eLNs and provide advice in selection of software and training of lab support personnel in all aspects of these systems including the selection of cloud storage systems (University of Utah, 2016, University of Wisconsin - Madison, 2015).

2) What are the risks and benefits associated with cloud-based storage of this data?

While there are many benefits of cloud-based storage, the risks are significant. Security of the data, as well as the university's IT platforms, should be a priority. Maintaining a truly secure electronic data management system on a cloud-based framework is no easy feat and the use of personal devices (tablets and phones) to actively record potentially sensitive or valuable data compound that risk. At present, no standard exists for eLNs, and the market is still evolving, so that none of the software makers can guarantee support and further development of their eLN beyond a couple of years. Currently, there are no standards for data annotation and integration; therefore, migration between different platforms may be difficult or even impossible (Dirnagl & Przesdzing, 2016). There are many formats available for this purpose with more applications (e.g., Evernote, OneNote, Labfolder, and iLab) for personal devices like the iPad and iPhone. While there are many systems available at different price points and levels (basic to high-end systems), any university would need to have a system in place to protect the security of information put into these devices. The apparent ease with which hackers can gain entrance to a lab's email systems would undoubtedly translate to handheld devices.

Data security should also be considered when selecting a platform. Not all of the available eLN's originate in the U.S., and there is no guarantee that the developer did not engineer hidden access to your research data. "Backdoor" coding would enable any nefarious hacker to, at minimum, delete all of your results and, at worst, steal valuable intellectual property. It may sound conspiratorial, but identity theft was once considered merely fodder for a Hollywood thriller.

3) How do we mitigate risks associated with foreign influence?

Foreign influence and data breaches can come in many forms, but consider the following. Dr. Goodguy is a mentor to a foreign national grad student, Mr. Deemed Export. During Mr. Export's tenure in the lab, he has full access to all eLN systems pertaining to all grant-supported work. Following his graduation, the innocent graduate eagerly accepts a job in his mother country, happy to return with his new degree. Since he and Dr. Goodguy have two active publication projects, Dr. Goodguy sees no issue with granting Dr. Export continued access to the eLN's in order to complete these publications. Unfortunately, Dr. Export has accepted a post-doc position with Dr. Nefario, who has other plans for the data he now has full access to through his new employee. Dr. Nefario may now have access to the university servers and more sensitive data stored there, creating a threat to those labs conducting export-controlled work.

The potential for "backdoor" coding, previously addressed in question 2, should be considered an additional security threat by any foreign-owned eLN companies. In many cases the freeware offered to students as an enticement to use the program may utilize

servers outside the U.S. Customarily, these companies also have a premium version that offers storage on U.S. servers (in the fine print, however, they may indicate that backup copies are stored on servers outside of the U.S.).

Conclusion

There is no perfect solution in dealing with eLNs and research data management. Perfection is unrealistic "particularly given the fluid nature of regulation and policy, technical hardware and software solutions, and the gradual development of skills and best practices among service providers and researchers" (Olafson & DiBella, 2015, p. 492). The end goal should be the economic, standardized, and compliance-friendly use of eLNs in academic research labs. One sizeable hurdle to implementation efforts is the primary investigator. Scientists are RESISTANT to change (shocking, I know). Don't give up. Get to know their lab managers and other support personnel; it helps to have an ally on the inside. Research administrators and research support personnel, while often seen as gatekeepers, have a vested interest in compliance and in maintaining research integrity. Working together, we can be seen as PROTECTORS of the research enterprise. ■

References

- Denny-Gouldson, P. (2016). Best Practices for Lab Notebooks. Retrieved from www.laboratoryequipment.com/blog/2016/11/best-practices-lab-notebooks
- Dirnagl, U., & Przesdzing, I. (2016). *A pocket guide to electronic laboratory notebooks in the academic life sciences*. *F1000Research*, 5, 2. doi:10.12688/f1000research.7628.1
- Giles, J. (2012). The Digital Lab. *Nature*, 481, 430-431.
- National Academy of Sciences, National Academy of Engineering, Institute of Medicine (2009). *On Being a Scientist: A Guide to Responsible Conduct in Research: Third Edition*. Washington, DC: The National Academies Press.
- Nussbeck, S. Y., Weil, P., Menzel, J., Marzec, B., Lorberg, K., & Schwappach, B. (2014). The laboratory notebook in the 21st century: The electronic laboratory notebook would enhance good scientific practice and increase research productivity. *EMBO Rep*, 15(6), 631-634. doi:10.15252/embr.201338358
- Olafson, L., & DiBella, S. (2015). *Implementing a Comprehensive Research Compliance Program: A Handbook for Research Officers* (A. Dade Ed.). Charlotte, NC: Information Age Publishing, Inc.
- Ryan, P. (n.d.). *Keeping a Lab Notebook: Basic Principles and Best Practices*. Retrieved from [www.training.nih.gov/assets/Lab_Notebook_508_\(new\).pdf](http://www.training.nih.gov/assets/Lab_Notebook_508_(new).pdf)
- Sayre, F., Bakker, C., Johnston, L., Kocher, M., Lafferty, M., Kelly, J. (2017). *Where in Academia are ELNs? Support for Electronic Lab Notebooks at Top American Research Universities*. Retrieved from the University of Minnesota Digital Conservancy, <http://hdl.handle.net/11299/185419>.
- Steneck, N. H. (2007). *ORI Introduction to the Responsible Conduct of Research*. Washington, D.C.: Department of Health and Human Services, Office of the Secretary, Office of Public Health and Science, Office of Research Integrity
- Tachibana, C. (2014). The Paperless Lab. *Science*, 468-470. doi:DOI: 10.1126/science.opms.p1400087
- University of Utah. (2016). *ULibraries: ELNs Electronic Laboratory Notebooks*. Retrieved from <http://campusguides.lib.utah.edu/c.php?g=160435&p=1051231>
- University of Wisconsin - Madison. (2015). *Electronic Lab Notebooks*. Retrieved from <http://eln.wisc.edu>



Cindy Rodenburg, MRA, is a researcher, lab manager, and core facility manager in the department of microbiology at the University of Alabama at Birmingham. With 29 years of research experience, she is an expert in the administration of biomedical research labs. She is a recent graduate of the Master of Research Administration program at UCF and focuses on research integrity, compliance, and all aspects of laboratory safety. She can be reached at cindyr@uab.edu



NCURA PEER PROGRAMS

NCURA Peer Programs offers comprehensive **Peer Reviews** of sponsored programs and research compliance operations and **Peer Advisory Services**, which provide institutions with support conceptualizing and planning new Research Administration infrastructure, focused analysis of specific research administration functions, and directed education on topics of interest. The cornerstones of NCURA Peer Programs are our Standards, which serve as the basis for our engagements, and our Reviewers, Research Administrators who bring experienced eyes and expert knowledge to your institution.

HOLISTIC REVIEWS

The Standards represent institutional baselines that provide a supportive environment for the conduct of extramurally funded activities. They guarantee your operation is assessed against a consistent and holistic set of features, while still taking into consideration the unique history and culture of your institution.

EXPERT PERSPECTIVES

Nationally recognized senior research administrators serve as Peer Reviewers and Peer Advisors. With an average of over 27 years of experience, NCURA Peer Reviewers and Advisors bring deep expertise and understanding of sponsored program and research compliance operations to your institutions.

LEARN MORE

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



FEDERAL DEMONSTRATION PARTNERSHIP

Introduction to the FDP

By Jennifer Taylor and Michael Kusiak

This Federal Demonstration Partnership (FDP) update article stems from a recent series of conversations between members of the FDP and a number of NCURA members. Although a significant number of members of the FDP are also NCURA members, it has become clear from the conversations that a large number of NCURA members are either unaware of the FDP and/or know relatively little about it. As the work of the FDP has much to offer NCURA members, this brief update will provide an overview of some key elements of the FDP. We hope the update will encourage our readers to further explore the FDP webpage (www.thefdp.org), read previous articles in the *NCURA Magazine* regarding elements of the work of FDP, and consider becoming involved in FDP as participants.

What is the FDP?

The Federal Demonstration Partnership is a collaborative effort between recipients of federal research funding and the federal agencies that fund those recipients. Institutions of higher education – from multi-campus research universities to emerging research universities – along with independent research institutes, work with their federal colleagues to reduce the administrative burden associated with federally-funded research. FDP provides an organizational opportunity for universities and nonprofits to work collaboratively with federal agency officials to enhance research nationally. Convened by the Government-University-Industry Research Roundtable of the National Academies, FDP brings together ten federal agencies and 154 institutional recipients of federal funds and is supported by the Government-University-Industry Research Roundtable of the National Academies. This unique partnership started in 1986 by a collaboration of five federal agencies, the members of the Florida State University System and the University of Miami.

**FDP brings
together ten federal
agencies and 154
institutional recipients
of federal funds**

Every few years, the membership of FDP considers whether this partnership should continue and in what form. Since its inception, FDP has evolved through multiple phases to its current form in Phase VI with strategic planning now taking place for Phase VII.

Approximately 450 individuals from our

associated institutions work collaboratively during three annual meetings per year. Much of FDP's work takes place through committees and working groups that are convened to tackle specific areas of concern for the research enterprise. Many of these committees and working groups work between meetings on regular conference calls to advance projects of importance to FDP membership.

What is the focus of the FDP?

The primary goal of the FDP is to address and to reduce the administrative burdens that are experienced by investigators and institutions, as they seek and carry out research grants and contracts. This work may resonate with many NCURA members.

You are likely very familiar with FDP's sub-award templates. These templates were developed by FDP members to track federal requirements and build consensus around standard documents to reduce the time to negotiate and execute projects among FDP members.

A cornerstone effort of FDP is the Faculty

A unique aspect of FDP is the active participation of faculty representatives

Workload Survey, which tells the story of the impact of administrative burden that faculty at FDP member institutions face. This data-rich survey provides a snapshot of many of the issues that FDP seeks to address and has been cited by Congressional and Administration supporters of federally-funded research.

The FDP has also developed the FDP Expanded Clearinghouse, where FDP members input commonly requested information about their institutions and about their compliance with various federal requirements for administering federal awards.

FDP participants are currently developing a tool that will help investigators to determine if their IRB protocol is exempt from full IRB review. Also under development is a Compliance Unit Standard Procedure (CUSP), an online repository sharing standard procedures used in animal care protocols with the broader animal welfare compliance community. Details on

these and other products can be found on the FDP website.

How do I Become Involved?

FDP membership is open to recipients of federal funding prior to the launch of a new phase. This shouldn't stop you from participating if your institution is not a member. "Friends of FDP" are welcome to participate at FDP.

Active participation is encouraged of all FDP members. This means not just attending meetings, which feature valuable engagement with federal agency and fellow research administrators from across the country, but actively engaging in committee and working group efforts.

A unique aspect of FDP is the active participation of faculty representatives, who bring their perspectives as researchers (and often senior administrators, as well) to the mix.

To find out if your institution is a member, review the complete list available on the FDP

website and, if so, contact your Office for Research to find out who is currently representing your institution and how you can become a member of that team. The current strategic planning process will develop the guidelines for new institutional members, which should be available on the website when completed. We will also provide details in this column. ■



Jennifer Taylor, PhD, MBA, is Assistant Vice Provost for Research and Innovation and a Research Professor at the University of Arkansas. Jennifer also serves on the Board of the FDP and is Co-Chair of the Communications Committee for FDP. She has been a senior research administrator for over 15 years and a member of NCURA during that time. She can be reached at taylorj@uark.edu



Michael Kusiak is a Research Policy Manager at the University of California, Office of the President, in Oakland. He serves as the FDP Administrative Representative for the University of California system. He has worked in various research administration and policy roles within the UC system since 2001 and works extensively within the federal research policy space, particularly indirect cost recovery. He can be reached at michael.kusiak@ucop.edu

CONNECT THE DOTS

Sponsored Research Administration: A Guide to Effective Strategies and Recommended Practices

This two-volume compendium connects the dots to provide context and clarity around complex issues.



Chapters include:

- Research Compliance
- Subawards
- Audits
- Export Controls
- Administering Research Contracts
- Intellectual Property & Data Rights
- Facilities & Administrative Costs
- Pre-Award Administration
- Post-Award Administration
- Special Issues for PUIs
- Training & Education
- International Research Collaborations
- Regulatory Environment
- Special Issues for Academic Medical Centers
- Sponsored Programs Assessment
- Staff & Leadership Development

A GREAT
RESOURCE FOR
CRA EXAM PREP!

www.ncura.edu/publications/store.aspx

Research

MISCONDUCT

Trends

By David Ngo

Research integrity remains a critical area to pay attention to within the clinical research enterprise due to the rapid and ongoing changes in the research environment. Research administrators face longstanding trends, such as increase in size and scope of research enterprises, growing regulatory requirements, and a greater emphasis by universities to seek out alternate review sources for “budget relief” (ex: entrepreneurial research and corporate sponsorship). As such, a significant research integrity concern that research administrators must attend to is research misconduct.

Some may argue that research misconduct concerns are even more important to focus on, beyond the traditional pre- and post-award functions in sponsored projects, without more definitive data to fully know the true number of research misconduct incidences. Could it be more widespread than anyone truly understands? Much remains unknown, especially when considering that cases can go unreported and uninvestigated. No question, research misconduct is infrequent, but that does not necessarily mean it is rare. It is collectively recognized that ensuring objectivity and reliability in empirical, evidence-based work is required in order to maintain trust in research to address some of the most important problems in society. With clinical research, maintaining public trust might even be a greater requirement, since studies are such a vital component of bench to bedside biomedical research.

One recent clinical research misconduct example occurred in April 2017, where Partners Healthcare System and one of its hospitals, Brigham and Women’s Hospital, agreed to pay \$10 million to resolve allegations pertaining to a Brigham stem cell research

laboratory. The settlement occurred due to a self-disclosure to the government, indicating the institution’s researcher failed to follow protocol, fabricated data and images, and submitted misleading data in National Institutes of Health (NIH) research grants and in publications. Another recent research misconduct example occurred in March 2019, where Duke University agreed to pay the US Government \$112.5 million to settle accusations of falsified data in awarded research proposals from NIH and the Environmental Protection Agency. The large settlement amounts of both the Partners Healthcare and Duke cases highlight the potential exposure and risk for institutions.

With all that research administrators are responsible for, the question arises on how best to comply on research misconduct. Avoiding allegations of research misconduct in clinical research allows studies to continue to positively impact society by preventing disease, comparing treatments, identifying people who are likely to develop a condition, or testing a treatment for a rare disease.

A starting point is to better define research misconduct. The National Academies of Sciences, Engineering, and Medicine (NAS) report, “Fostering Integrity in Research” was issued in 2017 and uses the widely-accepted definition of research misconduct as fabrication, falsification, or plagiarism. The report raises additional areas of concern beyond the traditional definition by expanding scope to include two additional areas: 1) the misleading use of stats and failure to retain sufficient research data and 2) the problem of reproducibility of research results (NAS, 2017). Both of these additional areas fall under the category of questionable research practices.

Once the scope of research misconduct is set, the task of designing and establishing operations to deter it can also be defined. The NAS report offers several suggestions to help curb scientific misconduct in order to best comply via service and consult. These ideas help support all phases of clinical research efforts throughout the entire lifecycle, from pilot and feasibility studies that allow for innovation and testing of new ideas to clinical trials planning and full implementation studies:

- The NAS report indicates that fabrication, falsification, plagiarism, misleading use of stats, failure to retain sufficient research data, and irreproducibility of research results should all be acknowledged as detrimental to research.
- The NAS report says research misconduct should be “reframed” as a problem of investigators operating inside a flawed system, as opposed to a problem of rogue individuals working in isolation. As such, understanding the influences within the environment - and not just looking at the individuals who commit research misconduct - will lead to more effectiveness in addressing research misconduct.
- Specific to the issue of irreproducibility of research, the NAS report indicates that researchers, institutions, journals, and funding agencies are responsible for ensuring that published research provides sufficient information about the methods and tools used for researchers aiming to replicate the work.
- The NAS report recommends funding agencies and other research sponsors to allocate sufficient resources to enable the long-term storage of datasets and computer code required to replicate published findings.
- Overarching all operations, the NAS report suggests an independent, non-profit Research Integrity Advisory Board be set up to provide information on best practices and help handle allegations and investigations of research misconduct.

The trend should still include traditional methods to curb research misconduct. Subfield communities should still play an important role, whereby the social cohesion and self-correcting nature of research would be quickly discovered (Gunsalus, 1997). There will, undoubtedly be variances between disciplines; however, the shared values for responsible conduct of research remain consistent: accuracy, honesty, efficiency, and objectivity. These are the same values as set forth in standards by regulations, sponsors, institutional policies, professional/creative practices, and personal principles.

Education is still another mechanism for addressing research misconduct. Education typically includes various training sessions to prevent research misconduct and detrimental practices, as part of a “Responsible Conduct of Research” series. Some sponsors have made these training sessions required, in hopes to reduce lack of understanding, which could be the cause of some research misconduct. These training sessions also serve as a moment to explicitly discourage research misconduct. NIH has designed specific awards that build these training and educational components as part of the fabric of the award. For example, the NIH K23, Mentored Patient Oriented Research Career Development Award, is designed to “provide individuals who have a clinical doctoral degree with an intensive, supervised, patient oriented research experience.” Further, the NIH K24, Midcareer Investigator Award in Patient Oriented Research, is designed to “provide support for . . . to devote to patient oriented research and to act as research mentors primarily for clinical residents, clinical fellows and/or junior clinical faculty.”

Reporting is still another mechanism for addressing research misconduct. Having a pathway that is easily known and accessible for reporting possible

“With all that research administrators are responsible for, the question arises on how best to comply on research misconduct.”

research misconduct, anonymous or otherwise, is a best practice. The whistleblower in the aforementioned Duke University case, Joseph Thomas, received a \$33.75 million payment.

The trend has been to ramp up attention for research misconduct. The challenge for the research administrator is how to best comply, by deploying the least intrusive, minimally burdensome pathway for advancing the research and researcher. The US Department of Health and Human Services – Office of Research Integrity (ORI) offers many research misconduct best practices for responding to allegations. This includes instructions and tools throughout the entire process for:

- the receipt of an allegation
- the preliminary assessment
- the conduct of the inquiry and investigation
- the institutional decision
- the ORI oversight review

These tools ensure the highest ideals, standards, and protections are present in the conduct of research carried out by researchers. Successful implementation of these tools can help foster a culture of research integrity that supports the delivery of high-quality research, successful stewardship of research, ethical research behavior, and exceptional researchers. Above all, the institution depends on creating an environment in which research can flourish, while individuals utilize their integrity in delivering high quality research. ■

References

- Chappell, Bill (2019, March). *Duke Whistleblower Gets More Than \$33 Million in Research Fraud Settlement*. Retrieved from: www.npr.org/2019/03/25/706604033/duke-whistleblower-gets-more-than-33-million-in-research-fraud-settlement
- Gunsalus, C.K. (1998b). *Preventing the need for whistleblowing: Practical advice for university administrators*. Science and Engineering Ethics 4(1): 75-93
- National Academies of Sciences, Engineering, and Medicine. (2017). *Fostering Integrity in Research*. Washington, DC: The National Academies Press. Retrieved from: <https://www.nap.edu/catalog/21896/fostering-integrity-in-research>.
- Office of Research Integrity (2016, August). *Frequently Asked Questions*. Retrieved from: <https://ori.hhs.gov>
- United States Department of Justice (2017, April). *Partners Healthcare and Brigham and Women's Hospital Agree to Pay \$10 Million to Resolve Research Fraud Allegations*. Retrieved from: www.justice.gov/usao-ma/pr/partners-healthcare-and-brigham-and-women-s-hospital-agree-pay-10-million-resolve



David Ngo, Associate Provost, The New School. David is responsible to manage, coordinate and oversee all university research awards, facilitate research advancements and coordinate the development of high impact disciplinary and multidisciplinary projects. David oversees research integrity, pre-award, post award, and internal competitive research funds. David is a Co-Principal Investigator on several research awards and is a Co-Director of The Cohort for Efficiencies in Research Administration (CERA). He can be reached at ngod@newschool.edu

From the summit of Longs Peak in the Rocky Mountain National Park, you can see over 100 miles into Cheyenne, WY. Of course on the way up, you can see about 20 feet ahead and the view is usually obscured by boulders, trees, or the hiker's backpack ahead of you. Often, climbers are so focused on navigating the terrain in front of them that they literally cannot see the forest for the trees.

Like a hiker getting off trail, our training programs can get derailed. Our institutions have so many training needs, rarely do we have time to pause and look to the summit or notice what is around us. Instead, we tend to hyper-focus on our next steps and lose perspective.

Offered below are ideas to assure training programs address current needs, incorporate new and different ideas and remain on track with institutional goals.

- **Chart your course:** Write a mission statement. While it may sound silly or obvious, writing a mission statement for your training program that aligns with institutional goals can aid in planning. As training needs arise, circle back to your mission statement to determine fit and the best path for moving forward. Ideally, the mission statement should be supported—even heralded—by upper administration (like the Vice President for

Research) so that constituents know your programs are valued. Having a mission statement ensures your offerings are purpose-driven and on target with institutional priorities.

- **Seek guidance:** Create a training committee. The purpose of a training committee is to provide guidance on how the training program can achieve its goals. It should be comprised of subject matter experts with various years of experience who are from central and departmental administration. Convene monthly, every other month or as often as needed to provide fresh perspectives on the training program and institutional needs.
- **Consider a change in direction:** Explore alternate paths. As we strive to meet institutional training needs, it's easy to get hung up in daily planning and lost in details. It's also easy to keep doing the things we have always done them because we've little time to explore new methodologies and training techniques. Taking a step back, reevaluating training needs and resources and exploring new options can give way to charting a different course that still leads to desired training outcomes.

- **Explore new horizons:** Forge a new path. Attending training sessions outside your institution, such as a train-the-trainer workshop or conference, can provide new tips and tricks for your training toolkit. Moreover, it provides brain space for new ideas to flourish and the time and distance needed to evaluate whether current offerings are on track with institutional goals.

Writing a mission statement, engaging a training committee, and exploring and forging new paths will go a long way in aiding us on the journey to the training summit.



Tricia Callahan is the Senior Research Education & Information Officer at Colorado State University. A long-standing member of NCURA, Tricia shares her experiences through volunteerism and as a member of the Traveling Faculty. Currently Tricia serves on the

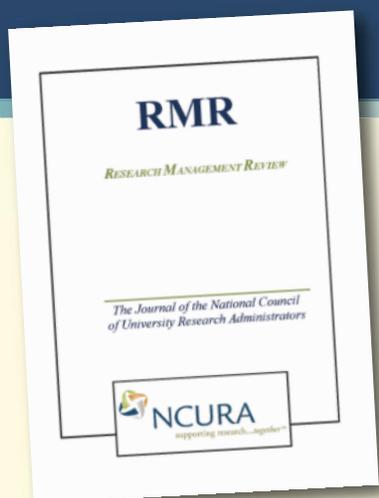
NCURA Board as Member at-Large. She can be reached at callahtl@colostate.edu



Tolise Dailey is the Training Manager at Johns Hopkins University. She is an NCURA Traveling Workshop Faculty member and serves on the Nominating and Leadership Development Committee. Tolise can be reached at tdailey2@jhu.edu

Research Management Review

Call for Articles



**Interested in writing for the
Research Management Review?**



The Co-Editors of Research Management Review (RMR) would like to invite authors to submit article proposals. The online journal publishes a wide variety of scholarly articles intended to advance the profession of research administration. Authors can submit manuscripts on diverse topics.

Check out the latest developing edition online!

kuali RESEARCH

Sponsored Programs • Compliance



SAAS THAT'S SMART

Automatically activate new changes to your sponsored program software so you're always working with the most updated information. And it's all-inclusive!



TAILORED TECH

Seamlessly integrate with all your current systems and configure with the right features and workflows to meet your needs.



INTUITIVE INTERFACE

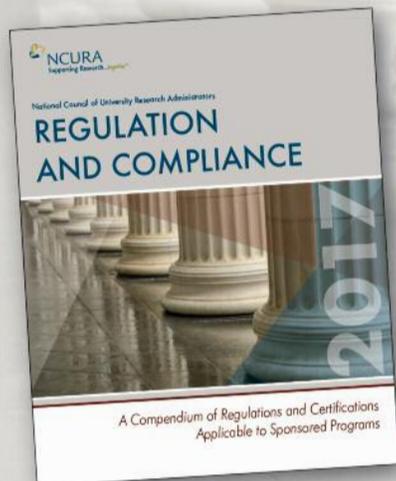
Enjoy familiar and functional navigation that makes sense and is easy to learn so you can share the load.



SUCCESS POWERED BY PARTNERSHIPS

Collaborate with peers to overcome problems and find the best solutions, with the support of people who've been there.

Visit kuali.co for demos, case studies, and more to learn about Kuali's Sponsored Programs and Compliance software solutions designed specifically for Higher Education.



Regulation and Compliance:

*A Compendium of Regulations and Certifications
Applicable to Sponsored Programs*

NCURA's comprehensive resource of all the relevant regulations for grants, cooperative agreements, and contracts.

This vital reference distills more than 100 Federal Requirements to help you keep your institution and faculty in compliance. Over 200 pages of important information in an easy to use format that will save countless hours of research.

Chapters include:

- Regulatory Framework
- Antidiscrimination
- Privacy
- Open Government Regulations
- Protection of Living Things
- Safety and Security
- Data and Dissemination
- Employee Directives
- Fraud, Waste and Abuse
- Administrative Requirements Applicable to All Awards



A GREAT RESOURCE FOR CRA EXAM PREP ~ GET YOUR COPIES TODAY!
www.ncura.edu/Publications/Store.aspx



**December 4-6, 2019
New Orleans, LA**

- Contract Negotiation and Administration Workshop
- Departmental Research Administration Workshop
- Financial Research Administration Workshop
- Level I: Fundamentals of Sponsored Project Administration Workshop
- Level II: Sponsored Project Administration Workshop

For registration information visit www.ncura.edu/travelingworkshops

NCURA TRAVELING WORKSHOPS

■ Education ■ Connection ■ Collaboration



Building a Research Future on Past Success

By Eric W. Abelquist, Arlene A. Garrison and Cordell Overby

Introduction

Oak Ridge Associated Universities (ORAU) is a Federal contractor and university consortium, headquartered in Oak Ridge, TN. As a 501(c)(3) nonprofit contractor, ORAU advances national priorities and serves the public interest by integrating academic, government, and scientific resources globally. The university consortium consists of more than 120 major Ph.D.-granting institutions—a significant resource to leverage as a Federal contractor. ORAU's flagship contract is the Oak Ridge Institute for Science and Education (ORISE) managed for the U.S. Department of Energy. ORISE is dedicated to enabling critical scientific, research, and health initiatives of the Department and its laboratory system by providing world class expertise in STEM workforce development, scientific and technical reviews, and the evaluation of radiation exposure and environmental contamination.

ORAU is focused on revitalizing and sharpening its strategic focus on research. A primary thrust of ORAU's mission is to create collaborative partnerships with member universities. Development of ORAU's first Strategic Research Agenda was a significant milestone in 2018. It provides direction on how effort and resources will be focused to ensure alignment with ORAU's strategic priorities. The strategic focus on research defines strategic drivers, research goals, and research focus areas. These areas include:

- Worker Health/Epidemiology
- Health Physics/Radiation Protection
- Atmospheric Science/Studies
- Data Analytics
- Health Communication, Marketing and Training Capabilities
- STEM Workforce Assessment & Evaluation Studies
- Peer Review Practice/Technology

It is thought that ORAU, in collaboration with its university partners, will experience increased externally-funded research, and potentially new ORAU business lines.

ORAU history

ORAU's history and ongoing programmatic activity is deeply rooted in research activities. Since ORAU began 1946, it has provided science education and research fellowships to help navigate the new field of atomic energy, highlighted by pioneering research in the use of radioisotopes to diagnose and treat cancer. Indeed, research has been a pillar of ORAU's long-standing vision for success.

Consider some examples of the value that ORAU's research offers ORAU as a Federal contractor and university consortium:

- ORAU's largest programmatic activity is the support of research participation programs—supplying roughly 10,000 qualified researchers to national labs and other research centers

- ORAU's technical peer-review supports hundreds of millions of dollars in research funding decisions
- Research has facilitated ORAU's ability to deliver world-class solutions to customer problems, in radiological health physics, health related radiation emergency response, worker health, independent verification surveys, and laboratory analyses

For a number of reasons, ORAU's research has significantly declined over the past few decades. The current plan includes investment and a focus on metrics to reemphasize the value of research in maintaining cutting-edge capability in the services ORAU provides.

Research as a differentiator (value for ORAU)

Today, ORAU's Research Enterprise is focused on two primary objectives of 1) strengthening core competencies through innovation, and 2) enhancing the consortium-member university value proposition.

Research is widely recognized for its value in innovating products and services. ORAU researchers are regarded as thought leaders in many of our scientific disciplines. Research leads to greater technical differentiation of products/services, and it inherently promotes innovation. Greater differentiation, coupled with deep subject matter expertise in specific disciplines and strong focus on customer value, is a key to business growth. Research directly supports what ORAU does best—enabling our customers to excel at delivering their mission.

The value of collaborative research (to universities)

ORAU's university value proposition model focuses on bridging ORAU's capabilities with the expertise at the universities. Research is the currency between ORAU university members and ORAU subject matter experts on staff. Collaborative research is manifested through a variety of contract vehicles, avenues for joint proposals, and opportunities to engage in applied research with ORAU. The goal is to provide a strong benefit to consortium members and ORAU alike by supporting research and scientific advancement in mutually beneficial areas, enhanced collaborations between university-consortium members and ORAU, and increased ORAU support for university initiatives that align with private sector and Federal customer needs. To advance this objective, ORAU provides small collaborative grants, focused networking opportunities, and access to contract vehicles. External collaborative research success is measured through funding and joint publications.

ORAU's overall success reflects execution of the dual mission as a Federal contractor and university consortium. The fact that university consortium activities and ORAU business activities have been independently successful is partially responsible for the minimal integration of these efforts.

Stronger engagement between ORAU's university partners and program business lines will: 1) improve value of ORAU consortium to member universities, and 2) increase ORAU's business revenue growth.

The ORAU Directed Research and Development program (ODRD) is a significant investment by ORAU in building member-university collaboration. Grants through this program have enabled preliminary work that has led to external publications and funding in area as disparate as "fake" news tracking and beryllium health impacts. As an example, the National Science Foundation is funding development of a survey instrument for measuring people's susceptibility to "fake" news and refinement of a machine learning tool designed to identify "fake" news. ORAU is partnered with Penn State University on this project.

ORAU current strategy and vision

The ODRD program, which is now in its fourth year and was funded to strengthen ORAU and university collaborative research, leads to external funding and joint publications that will enhance the visibility of ORAU researchers and their university collaborators. Through collaborations between ORAU and member universities, ODRD harnesses innovation to strengthen and expand the scientific and technical capabilities of ORAU programs; enhances ORAU's ability to address current and future customer needs; and supports university-engaged, applied research that strengthens customer solutions. ODRD creates a means to support additional exploratory, collaborative research opportunities with other ORAU programs, and results in a greater potential for significant external research funding.

ORAU's research enterprise seeks to be an integrated program aligned

with priorities that enable the development of products and services that strengthen ORAU's competitiveness. The investment in research infrastructure and focus on external research grants bodes well for ORAU's research enterprise. We are motivated by the challenge of growing our externally-funded research portfolio, and look forward to the valuable research collaborations necessary for us to achieve our goals. ■



Eric W. Abelquist, PhD, ORAU's Executive Vice President and Chief Research Officer leads ORAU's research enterprise, focused on increasing research collaborations with our member universities via initiatives like ORAU-Directed Research and Development (ODRD), strengthening research compliance infrastructure and pursuing grant opportunities. A recent UT MBA graduate, Abelquist leads entrepreneurial and innovative initiatives that develop business growth for the organization.

He can be reached at eric.abelquist@orau.org



Arlene Garrison, PhD, serves as ORAU's Vice President for University Partnerships. She enhances ORAU's scientific research opportunities and expands partnerships with universities, national laboratories and private industry. She served as a program manager at NSF and in several leadership positions at the University of Tennessee. She can be reached at arlene.garrison@orau.org



Cordell Overby, ScD, is currently the Associate Vice President for Research & Regulatory Affairs and a professor of engineering at the University of Delaware. He oversees the university's compliance with federal, state and internal policies and regulations. He also serves as chair of the ORAU Research Committee which is assisting in refining the organization's Strategic Research Agenda. He can be reached at overbyc@udel.edu


JOHNS HOPKINS
KRIEGER SCHOOL
of ARTS & SCIENCES

MASTER OF SCIENCE RESEARCH ADMINISTRATION

Whether you are a current or aspiring research administrator, advance your career with this new, entirely online, interdisciplinary program:

- » Earn a degree from the leading US academic institution in total research and development spending.
- » Develop proficiency in the management of sponsored research programs.
- » Customize your degree.
- » Now offering a concentration and certificate in International Research Administration Management.

ASK ABOUT DISCOUNTED TUITION RATES FOR NCURA MEMBERS.

LEARN MORE
ADVANCED.JHU.EDU/RESEARCHADMIN

1717 MASSACHUSETTS AVE. NW, SUITE 819
WASHINGTON, DC 20036
1.800.847.3330 | 202.452.1940



Mentoring

INCREASE ENGAGEMENT AND EMPOWER STAFF WITH PEER PARTNERSHIPS

By Melanie Hebl, Kristin Harmon and Catherine Shults

In research administration, as in life, we all benefit by meeting new people and gaining fresh and unfamiliar perspectives. Considering new viewpoints can help us to grow and succeed in our field. When we learn more about people with different backgrounds, we benefit in a variety of ways. In fact, learning about others can teach us more about ourselves.

It will come as no surprise that research administrators, at all skill and ability levels, are looking for ways to connect and grow. To respond to this need, the University of Wisconsin-Madison's Office of Research and Sponsored Programs (RSP) recently created a peer-mentoring program open to all UW-Madison research administrators. Individuals in the program have an opportunity to build important relationships with colleagues while enhancing professional growth.

The goals of the UW-Madison RED Peer Mentoring Program are to:

- 1) Expand opportunities for increased understanding
- 2) Enhance motivation for job performance and creativity
- 3) Foster a culture of collaboration across UW-Madison campus units
- 4) Increase engagement among research administrators

In general, the program matches less experienced research administrators with more experienced colleagues. However, the true focus of the program is on the peer partner aspect. Senior staff have equal opportunities to develop by expanding their perspectives through the mentoring process. Both our mentors and mentees benefit by increasing their knowledge base, considering alternative viewpoints, and learning about different areas in research administration. To highlight the experience of some of our program participants, we interviewed a peer mentor and mentee pair to gain insight into their experience in a formalized mentorship program.

NOTABLE PRACTICES

Research Development Activities in Sponsored Program Administration

NCURA Peer Reviewers continue to see that effective organizations integrate research development activities within the organization. Some organizations have separate offices dedicated to research development, other organizations share research development activities across multiple levels of the institution, and in small organizations research development activities are often integrated within a sponsored programs office. The following are some best practices observed as it relates to research development activities:

- Critical research partnerships are identified, nurtured and developed. A person or group is charged with developing internal and external partnerships related to research.
- Research teams are identified, supported, and engaged proactively to build research teams. This may include efforts to meet and share research interests with potential collaborators. This can be operationalized in a number of ways such as speed dating, social gathering, lighting talks, or other means to build community.
- The institution has a means of collecting, coordinating, and connecting research expertise.
- Resources are devoted to staff who meet regularly with faculty to understand the research expertise on campus and match funding opportunities with capacity/interests.
- Institutions invest in internal incentives to assist faculty in preparing competitive proposals. Some institutions target funds to obtain external content reviews, obtain editorial support, provide funding to travel and meet with collaborators, and ensure there is sufficient time to write proposals.
- Effective institutions often have grantsmanship training programs and support networks.
- Importantly, there is a clear leader (or group of leaders) who are strategically concentrated on strategic planning for the research enterprise.

Kris A. Monahan, Ph.D., is a member of the Select Committee on Peer Review. She is the Director of Sponsored Projects and Research Compliance at Providence College. She currently serves as the Director of NCURA Peer Programs.



Whether you work at a research institution or a predominantly undergraduate institution, the importance of providing quality services to your faculty in support of their research and scholarship is undeniable. NCURA offers a number of programs to assist your research administration operations and to ensure a high-quality infrastructure that supports your faculty and protects the institution.

Please contact NCURA Peer Programs:
NCURA Peer Advisory Services and NCURA Peer Review Program
at peerreview@ncura.edu

Catherine, our mentee, is in her second year as a research administrator in the UW-Madison College of Engineering, Department of Mechanical Engineering. She currently provides both pre- and post-award services.

Kristin, our mentor, has been working in various areas of research administration for more than twenty years. She worked in central post-award administration and central pre-award administration and has experience working as a grants manager for two different research centers. More recently she has switched gears to work more closely with intellectual property, invention disclosures, and reporting.

Q: What interested you in pursuing a relationship through the RED Peer Mentoring Program?

Catherine (Mentee): *I was interested in joining the peer mentoring program to challenge myself to continue growing both personally and professionally. One of my main goals was to gain the ability to speak more confidently and with authority (i.e., to build confidence). I also thought it would be a good way to get to know other people with similar roles on campus, which can be hard for me. I really enjoy hearing what other people have to say about how they do their jobs. I think it is a great way to share information, get new ideas, and gain perspective.*

Kristin (Mentor): *I was in research administration for a long time before I began to see it as my career. I happened into it, as many of us do, and always thought I would eventually move on to something else. I realized I see this as my career when I began to value being seen as a resource, and even an expert in certain areas of the field. I am an educator and facilitator by nature, so it is a natural extension for me to mentor others. Prior to becoming part of formal mentoring programs, I initiated a campus network for research administrators in research centers, which also had a role of mentoring each other. I have also been involved in the NCURA Region IV Mentoring Our Own Program, as a mentee several years ago and as a mentor last year and this year. I feel like it is my turn to pass the knowledge and support that I've received on to others. I also believe that mentors gain from mentoring relationship along with their mentees. I value the new perspective and insight I gain from our interactions.*

Q: Have you had any specifically rewarding experiences working together?

Catherine (Mentee): *I truly enjoyed the process of putting together a concurrent session presentation for the UW Symposium for Research Administrators with Kristin and then getting up there and actually doing it. It was interesting to see how our different personalities and work styles came together. I would like to continue to work on public speaking as one of my professional goals. It is an area that I never really considered before working with Kristin and a direction that I have a lot of room for growth.*

Kristin (Mentor): *My most rewarding experience thus far has been presenting the concurrent session together with Catherine. One of the goals we set last year was to help Catherine become more comfortable thinking on her feet in response to questions from faculty and more comfortable communicating her knowledge. We agreed that presenting at the Symposium would be a valuable experience, hopefully increasing confidence and comfort level with public speaking and responding to ad hoc questions. I am so glad to see Catherine becoming more confident with public speaking and growing in her role.*

“WE ALL BENEFIT BY MEETING NEW PEOPLE AND GAINING FRESH AND UNFAMILIAR PERSPECTIVES.”

Q: How have you grown professionally or personally by being a part of this program?

Catherine (Mentee): *I feel like I have gained quite a bit of confidence (which was my original goal!) and it is a fun way for me to get know other people on campus. Kristin has a unique perspective. She has worked in research administration for a long time and her current role is tangentially related. I have enjoyed getting to know her.*

Kristin (Mentor): *Mentoring necessitates looking at yourself, knowing your strengths, but also being aware of your weaknesses. I believe mentoring has made me a better resource, a better team member, and potentially a better leader and supervisor.*

Q: How has your outlook on your career changed by being a mentor/mentee?

Catherine (Mentee): *Being a mentee has opened my eyes to the myriad possibilities in the field of research administration. I always like a challenge and learning new things, so exposure to the possibilities is great.*

Kristin (Mentor): *I'm not sure my outlook has fundamentally changed, but mentoring has certainly reinforced my desire to continue to grow and become more of a leader; I would like to pursue higher-level roles where I can manage a larger program and lead others. It has also reinforced my desire to keep my knowledge relevant and my skills sharp.*

Q: What new or alternative viewpoints/perspectives/insights have you gained?

Catherine (Mentee): *Each of us has our own unique experience, and if we truly listen, we can't help but learn new things and gain a deeper level of understanding. Working with Kristin has added to some of the other personal work that I have been doing. Specifically, there is always room to grow, and the direction you grow in is up to you.*

Kristin (Mentor): *I have never actually worked in a traditional department; my experience is all central and in research centers. Mentoring Catherine has given me some insights into departmental administration that helps fill out my picture of the research administration world. I can see some things from a perspective I never gained/would have gained in my previous or current roles.*

Q: Have you experienced any challenges in maintaining contact or making time for the relationship? If so, what have you done to overcome these challenges?

Catherine (Mentee): *Occasionally one of us would have a pretty tight schedule, but we were able to fit in pretty regular face-to-face*

meetings. Since it is kind of a casual relationship, I think we both had a lot of flexibility and understanding when it came to scheduling.

Kristin (Mentor): *I admit that I have learned I am not always the best at maintaining regular communication! I get busy, and time passes before I realize it. Catherine is very organized, and we were able to find balance after a couple of months. We met monthly all year, and more often in the months before our presentation. When either of us got distracted from keeping those meetings scheduled, the other would reach out and initiate a meeting.*

Q: What tips do you have for people to be successful when entering a mentor/mentee role?

Catherine (Mentee): *Keep communication open and honest. Try to have some kind of goal or purpose for the relationship. Mentee should have some kind of idea of what they are looking for in the relationship. Keep it fun. Don't be afraid to reach out, if you haven't heard from someone in a while.*

Kristin (Mentor): *As with almost all aspects of research administration (and possibly any professional role) I believe communication and keeping an open mind are key. We all come from different paths and have different experiences, and being open to learning about those is how we learn from each other. Particularly as a mentor, that is how you can learn from your mentee, even if not in the field. Sharing the experiences we bring to the table helps us grow.*

Catherine and Kristin have had a successful partnership and their relationship will likely continue, long after their formalized match ends. If your institution doesn't already have a mentoring program, perhaps consider adding similar opportunities for staff.

Peer mentoring helps all staff feel supported and establishes a sense of belonging in the field. Mentoring can contribute to increased job satisfaction, personal productivity, and job stability. Developing a peer-mentoring program could be just the low-risk/high-reward development opportunity your office is looking for. ■



Melanie Hebl is Education Coordinator in the Office of Research and Sponsored Programs, University of Wisconsin-Madison. She is a member of the NCURA Professional Development Committee and currently serves the UW-Madison campus by designing and developing learning opportunities and educational resources for research administrators. She can be reached at Melanie.Hebl@wisc.edu



Kristin Harmon is an Intellectual Property Disclosure Specialist in the Office of the Vice Chancellor for Research and Graduate Education at the University of Wisconsin-Madison, and is a Board Member At Large for NCURA Region IV. She has over twenty years of research administration experience in central pre-award administration, cradle-to-grave administration in research centers, and central post-award administration. She can be reached at kristin.harmon@wisc.edu



Catherine Shults is a Research Administrator for the Department of Mechanical Engineering, University of Wisconsin-Madison. She specializes in both pre- and post-award management, and her award portfolio currently includes NSF, DOE, DOD, and various industry partners. She also has broad knowledge of general financial and operational aspects of the department gained in previously-held roles. She can be reached at cmsults@wisc.edu



Michelle Gooding is now Associate Director, Office of Sponsored Programs at Christopher Newport University.



Calleen Roper is now the Assistant Director of Research Accounting at the College of Medicine at Florida State University.



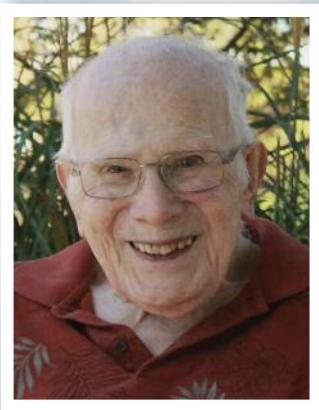
Jill Tincher is now Executive Director, Sponsored Projects Administration at the University of Georgia.



Randi Wasik is now Director, Program in Molecular Medicine at the University of Massachusetts Medical School.



Do you have a milestone to share? Email schiffman@ncura.edu



In Memoriam

Eric R. Rude, Associate Dean Emeritus at the Graduate School of the University of Wisconsin-Madison, passed away on June 8th at the age of 94. Eric was a long-time member of NCURA joining the organization back in 1966. Eric was very active at the regional level serving as Region IV chair in 1971. He served as the organization's president in 1976. Rude was the recipient of the Outstanding Achievement in Research Administration Award in 1998.

Eric was a Dean at the UW-Madison for thirty-one years. During this career he also worked for several other prestigious organizations such as the National Science Foundation, the National Academy of Sciences, and the U.S. Atomic Energy Commission. In 1957 he was a member of the U.S. Atoms for Peace Mission to Nicaragua, Honduras, El Salvador, Guatemala, and Mexico.

NCURA's Executive Director Kathleen Larmett shared:

The board minutes during Eric's NCURA presidency show a person who was dedicated to the association at a time when it was feeling growing pains. With an annual budget of only \$53K, and the need to bring in additional revenue to accomplish the programs proposed for NCURA's 1,000 members, it was clear that a dues increase was necessary. The board minutes show, when after a particularly difficult meeting, that dues would be increased by \$5.00 bringing them up to \$15.00, Eric told the group that "This is only a short term solution and I am mounting a committee to look at NCURA's future." A person who was well-liked by many, Eric was always the first to volunteer when something needed to be done. I am sure his ready smile and good humor will be missed by many.

In lieu of flowers, memorials can be made to Agrace Hospice Care:
5395 E. Cheryl Parkway, Madison, WI 53711 or www.agrace.org/donate

NCURA Global Peer Review

By Daniela Amadio

In April 2019 I had the pleasure to be directly involved in hosting a delegation from NCURA to carry out a Global Research Management Review of research administration practices at King's College London, a higher education university established in London (UK). The initiative was co-sponsored by Dr. Martin Kirk, King's Director of Research and Researchers (Operations), in partnership with representatives of NCURA: Robert Andresen, Director of Research Financial Services, University of Wisconsin-Madison; Dave Richardson, Associate Vice Chancellor for Research, University of Illinois at Urbana-Champaign; Ara Tahmassian, Chief Research Compliance Officer, Harvard University; and Kathleen Larrett, Executive Director, NCURA.

A Global Research Management Review is *"specifically designed for international institutions that are either receiving research funding from U.S. entities or wish to pursue U.S. funding. It serves the purposes of evaluating the effectiveness of an institution's management of sponsored programs and to assess the extent to which an institution's management of sponsored programs meets globally accepted standards."* King's decided to embark on this exercise precisely to evaluate how well we support research and researchers and to gather insights from an external team of independent experts. We also wished to test our level of sophistication and readiness to enhance and diversify our funding base into expanded U.S. government funding. The review was the ideal mechanism to test our readiness to make this audacious journey.

Before the delegation even stepped on a plane, the work began. Not only was I responsible for hosting their visit, I also was tasked with producing a briefing report for the delegation as a key element of the Global Research Management Review. The briefing report described how we manage sponsored programs; our current practices, roles and responsibilities,

pre- and post-award; systems; compliance programmes; and governance amongst others. This exercise was a particular insightful moment for me. I have been working at King's for eight years and yet, during the process of gathering all the information required for the report, I liaised with

"The review was the ideal mechanism to test our readiness to make this audacious journey."

units and professionals working in the management of sponsored programs across the institution for the first time. This report, moreover, allowed me to put together all the pieces of the puzzle of how such a complex university works. I can tell I have definitely made some new friends across the College!

A few weeks after sending off the report, our friends from NCURA finally arrived in London, welcomed by some cold and grey spring days (typical British weather).

For their time in London I prepared a programme of interviews lasting thirty to forty-five minutes between the delegation and King's personnel responsible for different areas of research administration. Those involved from King's included Vice President for Research, Director of Research Grants and Contracts, Director of Procurement, Director of Business Assurance, an academic, and a departmental research support administrator just to name a few.

The interviews covered a broad spectrum of topics within research

administration, taking place over two days. Based on the briefing report, the NCURA delegates asked questions and sought clarifications relating to areas of remit and working practices. I myself have had the pleasure of going through this interview process and explaining in detail how we run the business in pre-award. It goes without saying that it is impossible to go into the nitty-gritty of how an office runs in a report of only thirty pages, let alone an entire university. The conversations were a great

“...it cannot be overstated that the advice offered by world leading experts in management of sponsored programs is ultimately priceless.”

opportunity for the NCURA delegates to drill into the details, challenges and best practices encountered in research administration, areas that could be too complex to convey otherwise.

Everyone enjoyed their time with the NCURA delegation; they praised their professionalism, discretion and approachability. To me it felt a bit like going into counselling for 30 minutes and being able to talk through my job with someone I would trust and who understands me.

The outcome of the visit of the NCURA delegation was a report analysing our strengths and weaknesses in management of research administration. We hope that we will be able to use the outcomes of the report to galvanise the considerable internal momentum already evident in our research administration and to modify and optimise working practices. For example, we are aware that if we wish to retain our global position we have to keep on

investing into our systems and developing our research administration staff.

I would definitely recommend other universities embark on this exercise. It offers an opportunity to foster positive gains in the profession of research administration and to compare your institution with peer global standards. You can use the review to mobilise internal attention and resources on areas that might have been overlooked to date. You could discover how departments have developed over time and where synergies and misalignments exist within the university. Sometimes, as it happens in therapy, you just have to hear about a potential issue and its solution from a fresh perspective so that it exercises more effect. The most important net benefit is that after the review, assuming you make good on the recommendations, you can be confident in your ability to successfully manage the most complex class of international funds and be assured that when the auditors come to town you will be in great shape to demonstrate broad compliance.

In conclusion, it cannot be overstated that the advice offered by world leading experts in the management of sponsored programs is ultimately priceless. ■

References

NCURA Global Sponsored Programs Review

www.ncura.edu/InstitutionalPrograms/PeerReviewPrograms/GlobalReview.aspx



Daniela Amadio, Head of Research Grants at King's College London in London, UK. She leads the pre-award department at King's responsible for all research applications to national and international funding sources and sign-off of awards and subawards. She can be reached at Daniela.amadio@kcl.ac.uk

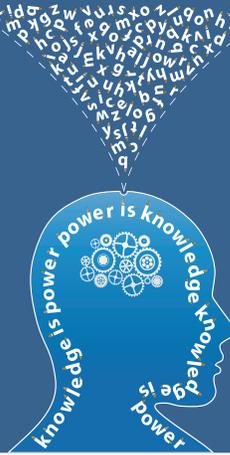
DON'T MISS THE BOAT.

150 of your peers are already on board.

infoReady™

Why Does the Label of “Innovation” Matter in Research?

By Jessica Svendsen



Innovation. It is the current buzzword that has sent organizations frantically changing divisional names nationwide, many organizations replacing the term “research” with “discovery” or “innovation” centers. Much of the change is sparked by pressing requests for grant funding of “novel” concepts and publishing results with noted breakthroughs. Technology is advancing faster than the intellectual debates can keep pace regarding what constitutes “innovation” versus “research.” In addition, research administrators everywhere are facing a dichotomy between advanced ideas and compliance regulations. Regulations are changing, such as the Common Rule, which has now placed risk reviews in the hands of researchers and their institutional administrators. Newer research projects are also pushing for larger data sets, cloud-based services, and remote access. With the increasing need to “innovate,” researchers, ethical review boards and administrators feel the pressure to balance activities of large data set formation and stewardship with compliance policy. In the background, our data analysts are seeking guidance on research data definitions, acquisition boundaries, and export-sharing controls. Moreover, administrators continuously have to watch the margins of financial support for studies and are often challenged to lay the foundation for sustainable growth. To foster innovative ideas, research administrators must adapt from standard patterns of traditional models of randomized trials into quasi-experimental, qualitative, atypical data sources and multiple collaborations.

Take for instance the rapid advances in digital technologies and patient home environments. Our organization entered into a series of research projects that investigated the use of sensor data, remote monitoring data and daily surveys in the life of a chronically ill patient. We collaborated across our internal and external resources to define the pertinent aims, data sets, compliance and sharing of information in a complex network of collaboration. Although low risk, the sharing of patient data, recruitment, remote monitoring, survey and vital reading data all posed special challenges for execution. Planning involved testing phases of equipment with refinement of setup, registration, and deployment protocol instructions. Research teams developed essential regulatory documents, monitoring plans, and decision rubrics for intervention of patient care and communications according to good clinical practice. Breaking through those barriers required investigation into the unknown and a willingness to trust that we could produce an opportunity to explore while also balancing activities of compliance. We were not only able to establish a streamlined route for compliant investigation and results; we also created a small portion of fiscal support to continue to grow our infrastructure.

We also have the opportunity to streamline our approach for approvals of minimal risk studies. It is still the spirit of human subjects

research regulations that we minimize exposure of risk for non-regulated activities, and as administrators we have to account for “anticipated” issues of compliance. However, we also should guide the process of application for approval of research while minimizing repetition in an already over-burdened system of reporting. We have become so preoccupied with the changes in compliance standards and responsibility of oversight that we may miss out on opportunities to advance truly novel research. Much like steering an application for a grant or creating a new publication, we should promote innovative project ideas through thoughtful feedback and our knowledge of risk factors

“...research administrators everywhere are facing a dichotomy between advanced ideas and compliance regulations.”

while offering streamlined processes such as single submission for internal approval with direct connections to all engaged parties. With increased transparency, studies can proceed smoothly through each step of the process, from creation to final approvals. Instead of immediately rejecting new ideas or projects, we need to instead encourage refinement, minimize risk to fail and accept that failure is a part of success.

Perhaps researchers should be given the opportunity to facilitate innovation through research while administrators guide the cycle of the unknown with strong competency in communications, teamwork, research compliance/policies, problem solving and decision making with processes and outcomes. It is our job as administrators to understand our role and to provide mentorship, research support, compliance guidance and networking opportunities for the next generation of researchers who will tackle unforeseen challenges at the intersection of innovation and research. We should not fear the unknown, as we know research is the key to the production of new knowledge and innovation solutions to society’s grandest challenges. ■



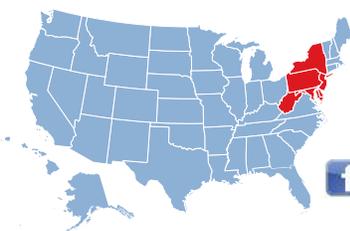
Jessica Svendsen is the Research Manager at Jump Trading Simulation and Education Center, a division of OSF Healthcare in Peoria, Illinois. She manages a large research program across simulation, education, applied and usability research. She is currently enrolled in the Masters in Research Administration program at University of Central Florida and can be reached at jessica.d.svendsen@jumpsimulation.org



REGION I New England

www.ncuraregioni.org

 www.facebook.com/ncuraregioni



REGION II Mid-Atlantic

www.ncuraregionii.org

 www.facebook.com/groups/ncuraregionii

Happy Summer Region I! I hope by the time you read this article, summer will have joined us, and you will be enjoying downtime before the busy season approaches. That said, I give you some highlights of the year in the making...

2019 REGIONAL MERIT AWARD WINNERS:

Julie T. Norris Distinguished Service Award

Kris Monahan, *Director of Sponsored Research and Compliance*, Providence College

Merit Award

Heather Dominey, *Assistant Director Post-award*, Brown University

Outstanding Volunteer Award

Laura Friedeberg, *Research Program Administrator*, Children's CT

Outstanding New Professional Award

Kyle Lewis, *Research Program Administrator*, Children's CT

2019 INNOVATION SUITE INNOVATOR AWARDS:

(1st Place) Suzanne Araujo, Rhode Island Hospital – Off the Clock: Streamline Your Life to Reduce Stress Outside of the Office

(2nd Place) Makki Hui, Tufts University – “Similarities/Differences between Human & Veterinary Clinical Trials”

(3rd Place) Jordan Wilkinson, Tufts University – “Subaward Monitoring Process!”

2019 TRAVEL AWARD WINNERS:

PRA/FRA Meeting: Sheri Farnum, Associate Director Office of Sponsored Programs, Whitehead Institute

Joseph Gervasi, Research Administrator, Boston Children's Hospital

Regional Spring Meeting: Alexis Doria, Research Administrator, Tufts Medical Center

Kyle Lewis, Research Administrator, Connecticut Children's Medical Center

1st Spring Meeting Raffle Awardee: Louise Tanguary-Ricker, Grants Administrator, Bowdoin College

Special Talent database continues to expand! Please continue to submit your entries. Submit your special talent to: <https://ncuraregioni.wufoo.com/forms/m1qv9k0s0qprxdj>

Donna Smith is Chair of Region I and serves as a Senior Research Manager at Massachusetts General Hospital Research Institute. She can be reached at chair@ncuraregioni.org

Happy Summer! The Program Committee is hard at work finalizing the sessions and schedule for our Fall Meeting, to be held at the Westin Jersey City Newport from October 16-18, 2019. This year, we are proud to be jointly hosting the meeting with our colleagues from Region VIII. As a result, the program includes sessions dedicated to working with international sponsors and facilitating global collaborations. Additionally, our new How-To track will present sessions that provide attendees greater opportunity to learn the practical aspects of research administration in a more interactive setting.

Finally, for the first time, workshops are included in the price of registration, and our five Wednesday offerings are geared toward several different aspects of research administration:

Workshop 1: Gift, Grant, or Contract? Why Does It Matter?

Workshop 2: Working Through the Numbers: Ensuring Fiscal Compliance Throughout The Award Lifecycle

Workshop 3: Exploring Your Options: Navigating Your Career in Research Administration

Workshop 4: Managing the Legal Considerations of Your Award from Receipt to Closeout

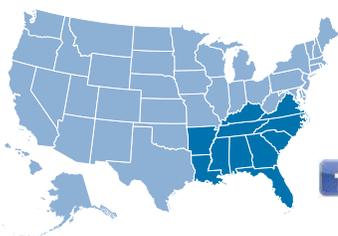
Workshop 5: Using Microsoft Excel to Excel

While the workshops are provided at no additional cost, space is limited in each of the rooms, so be sure to register as quickly to secure your spot.

That all being said, “All work and no play makes Region 2 a dull boy.” Our Thursday night event will feature a dinner cruise along New York harbor that promises views of the glittering Manhattan skyline, as well as an up-close sail-by the Statue of Liberty. As we get closer, be sure to follow our [website](#) and [Facebook](#) page for details regarding additional events surrounding the meeting. And don't hesitate to reach out to Adam Greenberg, Chair of the Program Committee, at Adam.Greenberg@asrc.cuny.edu with any questions.

Elsewhere around the region, our Professional Development Committee continues to offer workshops on a variety of topics, which are available to both non-members and members of the Region. We are particularly excited to announce the addition of a new workshop concerning internal controls, taught by the incomparable Denise Clark and Ann Holmes. Visit the PDC page of our website for a complete list of offerings, and contact the Chair of the PDC, David Schultz, at schuld7@rpi.edu to learn how to bring a workshop to your institution and receive two free registrations!

Charles Bartunek, JD, is Chair of Region II, and is the Director of Collaborative and Corporate Research Contracts at Children's Hospital of Philadelphia. He may be reached at bartunek@email.chop.edu



REGION III Southeastern

www.ncuraregioniii.com

 www.facebook.com/ncuraregioniii

We've wrapped up the first year of our R3RAMP program (Region III Research Administration Mentorship Program), and the second year of the program is under way. In June 2018, we recruited and accepted five mentees and five mentors from the Region. After being paired into teams, these participants started online courses designed to help further their professional development and leadership skills. Four of the mentor/mentee teams were available to attend the 2019 Spring Meeting in May to present, network, and officially graduate from the program.

R3RAMP 2019 GRADUATES

Mentees

- **Michelle Beck** (*The University of Alabama*)
- **Georgetta Dennis** (*Auburn University*)
- **Angela Garvin** (*Emory University*)
- **Lakeisha Munnerlyn** (*Emory University*)

Mentors

- **Rashonda Harris** (*Emory University*)
- **Leerin Shields** (*AdventHealth*)
- **Pam Whitlock** (*Emeritus, University of North Carolina at Wilmington*)
- **Natasha Williams** (*Kennesaw State University*)

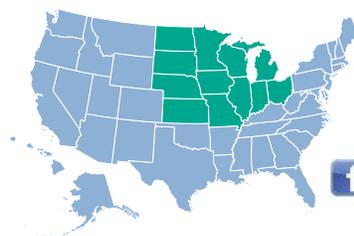
We'd like to thank our R3RAMP Committee Coordinators, **Jamie Petrusek**, **Erin Blackwell**, and **Rashonda Harris**, for their hard work in making the first year of this program a success! You can learn more about R3RAMP at <http://ncuraregioniii.com/ramp>.

This year, the Region III 2019 Spring Meeting set an overwhelming record attendance of 342 members! Region III members connected at the Margaritaville Resort in Hollywood Beach, FL, May 4-8, and flamed under the theme of *Creating Connections that Count*. Building on this theme, our goals for the year include providing more opportunities and tools for members to network, connect, and to participate in the Region throughout the year, as membership participation and volunteerism is critical to not only our Region, but for our profession in research administration.

We hope all the Region III Flamingos have enjoyed connecting at this year's Annual Meeting and that you stopped by the regional business meeting to hear about what's in store for Region III in the coming year. If you didn't make it to AM61, you can always keep up with the latest regional news by connecting on Facebook, Instagram, the RIII Collaborate Community, and our website (ncuraregioniii.com).

Mark your calendars now for the Region III and Region IV joint meeting at Tradewinds Island Grand in St. Pete Beach, FL, April 25-29, 2020!

Emily Devereux is Chair of Region III and serves as the Executive Director of Research Development at Arkansas State University. She can be reached at edevereux@astate.edu



REGION IV Mid-America

www.ncuraregioniv.com

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

At our spring meeting in Columbus, Ohio, Region IV hosted a second annual book group, using another story that ties directly to our profession, *Examining Tuskegee*, by Susan M. Reverby. This book generated rich conversation around research integrity, ethical practices, and oppression through targeted medical treatments.

I would also like to congratulate 2019 Region IV Award Recipients. We were thrilled to recognize Iris Dickhoff-Pepper with the Meritorious Contributions Award for 2019. This is awarded to Region IV members who have made significant contributions to research administration through service to NCURA, publication of articles in the field, or development of an innovative program that enhanced research. Iris was instrumental in developing the Specialized Training for the Administration of Research (STAR) Program at Washington University. Region IV 2019 Travel Awardees are Bill Courtney, Washington University – National Meeting; Jessica Kurrasch, Indiana University & Matthew Leucke, Washington University – Regional Meeting; and Crystal James, Medical College of Wisconsin and John Maurer, Lurie Children's Hospital of Chicago – John Philipps Mentee Awardees.

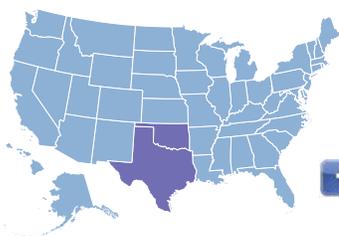
In other news, our Region IV Treasurer, Charlie Giese (UW-Madison) has resigned his position. The Region IV Chair has appointed Heather Offhaus to fulfill his vacated term. There *will* be a vote for Treasurer-Elect in early 2020, so please start thinking of potential candidates and send to Bonniejean Zitske, Nominations Committee Chair (bzitske@rsp.wisc.edu).

Looking forward to the Annual Meeting in August! Remember to sign up for the Region IV D.C. at Dusk Bus Tour on Saturday. This tour is free and visits some of the city's most incredible monuments. On Sunday, there will be a newcomers' reception in Suite 4101. On Monday, Region IV will host a dinner group. We will continue to host the region's hospitality suite in 4101 each evening from 9:00 – 11:00 PM.

PLEASE don't forget Research Administrator Day is September 25! It is never too early to start thinking about special ways to celebrate the research administrators in your life!

Lastly – **SAVE THE DATE!** Region IV's next meeting is a joint meeting with Region III. We are traveling to the Tradewinds Island Resorts in St. Petersburg, Florida, April 25-29, 2020. Make sure your calendar is clear with 20/20 vision and join us!

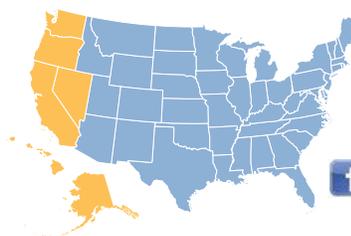
Nicole Nichols is Chair of Region IV and the Research Administrator for the Computational Biology and Medical Oncology Sections of the Department of Internal Medicine at Washington University in St. Louis. She can be reached at n.nichols@wustl.edu



REGION V Southwestern

www.ncuraregionv.com

 www.facebook.com/groups/ncura5



REGION VI Western

www.ncuraregionvi.org

 www.facebook.com/groups/729496637179768

It's August! A hot, and in many parts of our region, a sultry time of year for Region V. Time to crank down your AC and catch up on the regional news...

At the Region V meeting in Houston, we honored longtime member Scott Davis (University of Oklahoma Health Sciences Center) as the recipient of the 2019 Region V Distinguished Service Award. Scott's dedication to the region and our profession spans more than two decades and includes serving as Region V's representative to the NCURA National Board of Directors, Chair of Region V (2013-2014), and as a mentor to research administrators throughout the region. Congratulations to Scott on receiving this award!

This past spring, we held our annual regional elections, and we had a great slate of candidates. We are excited to welcome our newly elected regional officers and board members. Pursuant to our bylaws, these individuals will take office on Jan. 1, 2020, with the exception of the Chair-Elect, who takes office immediately. They are:

- Chair-Elect: **Becky Castillo**, The University of Texas MD Anderson Cancer Center
- Treasurer-Elect: **Vanessa Lopez**, The University of Texas at Austin
- At-Large Member: **Adrienne Blalack**, The University of Tulsa
- Region V Member of the National Board of Directors: **Katherine Kissmann**, Texas A&M University

As we look forward to the cooler temperatures of autumn—and the concomitant dearth of parking on campus when the students return—we will begin work on new regional initiatives, including the Mustang Mentoring Program and the development of 1-2 webinars focused on issues of concern for our region. Please be on the lookout for announcements of these and other upcoming programs in our weekly regional eBlast.

In closing, I want to thank our outgoing Immediate Past Chair, **Thomas Spencer** (UT Southwestern) for his outstanding leadership and behind-the-scenes work on behalf of the region. Thomas is an amazing mentor and friend, and I want to convey how grateful I am for his continued guidance and support.

Katie Plum is Chair of Region V and serves as Director of Sponsored Projects at Angelo State University. She can be reached at katie.plum@angelo.edu

Happy summer, Region 6 Colleagues!

It's August, so that means it's Annual Meeting time! Region VI is proud of our two Regional Travel Awardees for AM61: Julia Saelee from the University of California, San Francisco and Gilbert Ing Guzman from the Lundquist Foundation. We hope their first NCURA annual meeting kicks off great experiences for them both.

By the time you are reading this, the new Region VI website should be live! The layout has changed a bit, and we have chosen a platform that will allow flexibility in making updates and changes. The Announcements section will be the "go-to" place for all the latest regional updates. Please keep checking out the different areas on the site as we continue to make changes over the coming months. Updated website guidelines are also in the works.

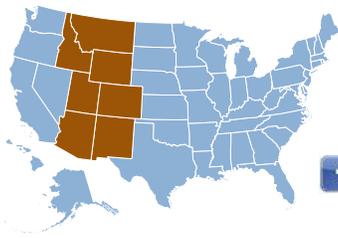
Immediate Past Chair Kevin Stewart began this effort last year with help from Derek Brown and Darren Bystrom at Washington State University, Mich Pane at Stanford University, and Jim Kresl's team in the Office of Research Information Services at the University of Washington. Kevin has continued to lead the effort with an ad hoc website committee: Erika Blossom – University of California, Irvine; Laura Register – Stanford University; Mara Rivet - University of Washington; and Diana Vigil – University of California, Irvine. I would like to extend a big thank you to everyone involved in this effort, past, present, and future!

I also want to add a shout out to everyone at Washington State University who has tirelessly supported the regional website up until now. All of your hard work over many years has been such a benefit to the region, and we are extremely grateful to all of you!

Planning and preparation are in high gear this summer for the Region VI/VII Meeting scheduled for October 27-30 in Seattle. Registration is open and a preliminary program is out thanks to our fantastic track chairs in both regions.

Volunteers are also working hard on the logistics of the meeting and pulling together some fun networking events. It is bound to be a wonderful meeting! Keep an eye on the website for the most current information.

Amanda C. Snyder, MPA, is Region VI Chair and Associate Director in the Office of Sponsored Programs at the University of Washington. She can be reached at acs229@uw.edu



REGION VII Rocky Mountain

www.ncuraregionvii.org



www.facebook.com/groups/NCURARegionVII



REGION VIII International

www.ncuraintlregion.org

Region VII has moved elections for regional positions up this year with the hope that new officers will be introduced at the annual meeting in August. This is the first year that the region will have both secretary and treasurer positions rather than a combined position. This change is a direct reflection of the availability of more volunteers than we have had before, and we are thrilled to have this new capacity.

The Region VI/VII combined meeting, scheduled for October 27-30 in Seattle, is moving forward and, by the time you read this registration and the preliminary program will be out thanks to an astonishing group of track chairs. Representing Region VII:

- PUI/Departmental – **Trisha Southergill**
- Preaward – **Carly Cummings**
- Compliance and Updates – **Deb Shaver**
- Contracting – **Beth Kingsley**
- Human Capital – **Jennifer Lawrence**
- Postaward – **Sarah Kern**
- Ignite Sessions – **Lori Schultz**
- Workshops – **Tricia Callahan**

At the request of some of our institutions, we are seeking to open registration before the end of the fiscal year so institutions can take advantage of any leftover travel budgets.

All Region VII members are welcome and encouraged to attend the Sunday morning strategic meeting. It is a time of growth for the region and we want to be thoughtful about the direction we head. One of the questions we have been asking ourselves is, 'What is the purpose of the regions?' In this age of instant communications across distances, how does a region stay relevant? How does a region with the large geographical footprint and small number of institutions like Region VII stay connected with members? How does that footprint play into our identity? How do we recognize members? What will we do to ensure we are enabling succession planning in a way that is both fun and meaningful? If it is anything like last year's discussion, it will be a lot of fun as well as thought-provoking and action centered.

The combined Region VI/VII Site Selection Committee for 2020 has also chosen an exciting site for that meeting, but we are keeping details to ourselves for now. Let us just say that cowboy boots will be welcome.

In the meantime, check out the Region VII website and newsletters at ncuraregionvii.org!

Diane Barrett is Chair of Region VII and serves as Director, Office of Sponsored Programs at Colorado State University. She can be reached at diane.barrett@colostate.edu

I joined the Office of Grants and Contracts (OGC) at the American University of Beirut (AUB) in 2005 as a clinical trials manager. In 2016, as Associate Director of the office, I became more involved in pre- and post-award research management. Throughout the years, I heard colleagues at OGC describing their participation in NCURA meetings as being an enriching experience and an important milestone in their careers. I only realized what they really meant by participating for the first time this year in the FRA and PRA Conferences that were held in Las Vegas this spring.

The conference provided me an enriching and valuable exchange, introducing me to a great community that also echoed the concerns of research managers in academia from around the world. They willingly shared their success stories and best practices as well as their challenges.

Every session I attended added knowledge and great inspiration for different and relevant subjects. I also had the pleasure of participating in the discussion group Managing NIH Grants - A Global Perspective, where I presented the case of AUB and our experiences in managing NIH grants. This discussion led all participants to one conviction: setting up a robust research management system to overcome hurdles along the way of implementation and execution of research projects. Policies and procedures, financial stewardship and a proactive performance are keys to success. This meeting provided the opportunity to network with professionals from around the world.

I am grateful for having had the opportunity to learn lessons beyond best practices. It is more of a chance to meet professionals with a willingness to collaborate, help and network. It is this underlying will among members of NCURA community that I found remarkable and impactful.

One leaves the meeting with the knowledge that NCURA is here to support us in our search for quality and professional growth. Programs offer a variety that caters to everyone, from first-time attendees like me, to regular participants, members and volunteers.

You can never be a one-time attendee to NCURA meetings, and I look forward for my involvement in this remarkable global track.

May Awar Ammar is Associate Director, Office of Grants and Contracts at the American University of Beirut. She holds an MA in Public Administration from AUB and is experienced in human resources development and performance management. She also serves as Title IX Deputy at the university. She can be reached at tma117@aub.edu.lb

Ocean Explorers

NOAA taps UNH as one of five institutions tasked with exploring U.S. ocean territory *By Erika Mantz*



“The support of NOAA in creating the cooperative institute and the respective strengths of the member institutions will help us address this critical gap in our understanding of three-quarters of our planet.”

UNH is one of five internationally renowned ocean science institutions chosen by the National Oceanic and Atmospheric Administration (NOAA) over the next five years to explore an estimated three billion acres of U.S. ocean territory as part of the new Ocean Exploration Cooperative Institute.

Home to the Center for Coastal and Ocean Mapping/Joint Hydrographic Center (CCOM/JHC) for 20 years, UNH will lead the consortium in the development of new acoustic mapping concepts and data processing approaches, building on its leading-edge experience in the application of autonomous surface vessels for seafloor and water column mapping and sharing its renowned data visualization skills.

“Few people understand just how little of the ocean has been mapped and explored,” says Larry Mayer, director of UNH’s Center for Coastal and Ocean Mapping and principal

investigator for UNH on the consortium. “The support of NOAA in creating the cooperative institute and the respective strengths of the member institutions will help us address this critical gap in our understanding of three-quarters of our planet. It will inevitably lead to many new discoveries that will help us better understand, manage and sustain the ocean and the vast resources it has to offer.”

Led by the University of Rhode Island, the consortium includes UNH, the University of Southern Mississippi, the Woods Hole Oceanographic Institution, and the nonprofit Ocean Exploration Trust. Members will work with NOAA’s Office of Ocean Exploration and Research to explore the acres of submerged ocean territory to strengthen the Blue Economy, aid responsible resource management and promote a greater scientific understanding of the nation’s vast underwater ocean territory, known as the Exclusive Economic Zone.

The consortium is supported by a five-year \$94 million award from NOAA.

“With the ‘blue economy’ expected to more than double its contribution to the U.S. economy and employ 40 million people by 2030, NOAA’s new cooperative institute will be on the front lines helping NOAA explore and characterize the three billion acres of U.S. ocean territory,” says retired Navy Rear Adm. Tim Gallaudet, assistant secretary of commerce for oceans and atmosphere and deputy NOAA administrator. “The blue economy relies on data and information to inform science-based management and sustainable use of our ocean resources in support of economic growth, food security and our national security.”

Erika Mantz is the Executive Director of Communications and Public Affairs at University of New Hampshire. She can be reached at erika.mantz@unh.edu



Understand your research site's performance to optimize operations and augment your pipeline with WCG Site Ready

Understanding Your Research Site's Performance

Benchmark your clinical research site operations, compared with your peer sites, to identify areas for improvement and efficiency.

Optimizing Your Research Site's Performance

Employ WCG's unique suite of services—at no charge to your institution—to improve profitability, accelerate enrollment, and increase compliance.

Increasing Your Industry-Sponsored Research

Membership in the WCG Global Research Network increases your visibility to industry sponsors who are looking for high-performing research sites.

To learn more, go to wgcclinical.com/solutions/sites



1015 18th Street, NW, Suite 901
Washington, DC 20036
www.ncura.edu

Celebrating **60** years of
supporting research... *together*

NCURA CALENDAR OF EVENTS

NATIONAL TRAVELING WORKSHOPS

Contract Negotiation and Administration Workshop

December 4-6, 2019New Orleans, LA

Departmental Research Administration Workshop

December 4-6, 2019New Orleans, LA

Financial Research Administration Workshop

September 4-6, 2019Chicago, IL

December 4-6, 2019New Orleans, LA

Level I: Fundamentals of Sponsored Project Administration Workshop

September 4-6, 2019Chicago, IL

December 4-6, 2019New Orleans, LA

Level II: Sponsored Project Administration Workshop

September 4-6, 2019Chicago, IL

December 4-6, 2019New Orleans, LA

Senior Level Workshop: Research Administration - The Practical Side of Leadership

September 8-10, 2019Scottsdale, AZ

NATIONAL CONFERENCES

Financial Research Administration Conference

March 2-3, 2020San Juan, PR

Pre-Award Research Administration

March 5-6, 2020San Juan, PR

ONLINE TUTORIALS – 10 week programs

- A Primer on Clinical Trials
- A Primer on Federal Contracting
- A Primer on Intellectual Property in Research Agreements
- A Primer on Subawards

WEBINARS

- **Cost Transfers: Minimizing the Need, Monitoring the Process and Managing the Risk**
September 25, 2019, 2:00-3:30 pm
- **Metrics for Post-Award/Research Finance**
November 5, 2019, 2:00-3:30 pm

REGIONAL MEETINGS

Region II (Mid-Atlantic)/Region VIII (International)

October 16-18, 2019Jersey City, NJ

Region VI (Western)/VII (Rocky Mountain)

October 27-30, 2019Seattle, WA