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NATIONAL COUNCIL OF  
UNIVERSITY RESEARCH  
ADMINISTRATORS

***REGIONS VI AND VII  
SPRING MEETING  
PROGRAM***

**April 21 - 23, 1996**

**Hyatt Regency Monterey on  
Old Del Monte Golf Course**

**Monterey, California**

## ***FINAL MEETING SCHEDULE***

***Saturday, April 20***

**Organized Sporting Events - Golf, Tennis**

***Sunday, April 21***

**8:00 - 9:00 Workshop and Meeting Registration**

**9:00 - 4:30 Workshop - Grant Proposal Development for the Research Administrator:  
The Buck Starts and Stops Here**

This full day workshop will explore the processes of identifying potential funding sources, developing competitive proposals, identifying/creating your institution's winning edge, and communicating effectively about those elements with faculty and other grant developers. It will cover government and private funding sources and will analyze the critical elements of the full and "letter" proposals, including the funders' JARAN yardstick for right-sizing the budget. Tips on computer applications useful in proposal development will be discussed. At the conclusion of this workshop, participants are expected to be able to develop and diversify a good proposal idea, use a variety of methods for identifying potential funding sources, outline the essential components of competitive proposals, and understand and communicate several strategies for success in getting ready, in writing the proposal, and in preparing for next time. Extensive handouts, worksheet exercises, computer demonstrations, e.g., surfing the Internet, and participants' insights will help create a truly interactive workshop. This workshop will be most useful for research administrators who have developed few, if any, winning grant proposals.

**Howard M. Kaplan**, Director of Research, Georgia Southern University;  
**Rebecca Ryan**, Coordinator of Research, Projects, and Grants, Center for Rural Health and Research, Georgia Southern University.

**4:00 - 6:00 Meeting Registration**

**5:00 - 6:30 Hospitality Suite Open**

**6:30 - Dinner Groups** - When you register, be sure to sign up for one of the many restaurants featured.

**8:30 - 12:00 Hospitality Suite Open**

***Monday, April 22***

**8:00 - 9:00 Meeting Registration**

**8:00 - 9:00 Continental Breakfast**

**9:00 - 10:15 Welcoming Remarks/Opening Session**

**Introduction: Jeff Knorr**, Associate Chair for Research, Department of Electrical and Computer Engineering, Naval Postgraduate School.

**"Building a New and Different Scientific Research Organization: the Monterey Bay Aquarium Research Institute and Its Relationship to the World of Ocean Science."**

Guest Speaker: **Peter G. Brewer, Ph.D.**  
Executive Director  
Monterey Bay Aquarium Research Institute

The Monterey Bay Aquarium Research Institute (MBARI) was founded in 1987 by David Packard. Its mission is to achieve and maintain a position as a world center for advanced research and education in ocean science and technology through the development of better instruments, systems, procedures and methods for scientific research in the deep waters of the ocean. MBARI emphasizes the peer relationship between engineers and scientists as a basic principle of its operation.

MBARI has gained notable successes, and faced significant challenges. The need to build superlative ocean observing assets, including the world's most innovative research vessel and a sophisticated deep ocean remotely operated vehicle for advanced research, has placed enormous demands on engineers, straining the science-engineering partnership fundamental to MBARI. Creation and successful use of highly innovative tools for use in the outside world has involved crafting new relationships. The special relationship to the sister organization, the Monterey Bay Aquarium, is unique in highlighting public outreach and education to millions and is quite different from a "traditional" center for advanced research situated on an academic campus.

**10:15 - 10:30 Break**

*Monday, April 22*

10:30 - 11:45 **Session #1. Business Practices: IRS and Audit Issues**

The session will focus primarily on the IRS and potential effects on research institutions. Discussion topics will include Unrelated Business Income Tax (UBIT), tax obligations related to foreign scholars and students, and preparing for an IRS examination.

**Dr. Ronald Smith**, Controller, University of Arizona; **Cynthia Fenwick**, Controller, University of Washington; **Brian Farmer**, Compliance Officer, University of Idaho.

**Session #2. OPRR's Role in Human Subjects Compliance - The Basics & The Issues in Human Subjects Research**

Federal regulations for the protection of human subjects have been unchanged for several years. Today these basic guidelines are being tested by some of the most widely-acclaimed research involving genetics testing, HIV, cancer drugs, and fetal tissue. Institutions engaged in biomedical, behavioral and social research must have a written Assurance of Compliance outlining the institution's program of review and oversight aimed at protecting the rights and welfare of human subjects. This session will provide a brief overview of one institution's program for the protection of human subjects, and follow with a perspective from the federal agency responsible for oversight of compliance. Ample time will be allowed for questions.

**Christina Hansen**, Moderator, Director, Office of Research Administration, University of California, Irvine; **F. William Dommel, Jr.**, J.D., Senior Policy Advisor to the Director, Office for Protection from Research Risks; **Carey Conover**, Coordinator, Pre-Award Services, Northern Arizona University.

**Session #3. NIH Update**

The NIH Update will include information on the latest NIH reinvention activities, the status of the revision of OMB Circular A-21, changes in NIH award documents such as the provision of total cost amounts for future year commitments, graduate student compensation on research grants, and the outlook for future NIH research funding.

**Mary Whitehead**, Chief Grants Management Officer, National Institute of Neurological Disorders and Stroke, National Institutes of Health.

***Monday, April 22***

**12:00 - 1:15 Luncheon**

Guest Speaker: **Kim Moreland, President, NCRUA**

**1:30 - 2:45 Session #4. Cost Accounting Standards Board Requirements: Institution and Department Roles**

The roles, processes, and accountability will be discussed as well as the problems and solutions implemented by various universities and departments across the nation.

**Enrique Avendano**, Moderator, Assistant to the Dean, College of Health Professions, Northern Arizona University; **To be named**

**Session #5. (Repeat of Session #3) NIH Update**

The NIH Update will include information on the latest NIH reinvention activities, the status of the revision of OMB Circular A-21, changes in NIH award documents such as the provision of total cost amounts for future year commitments, graduate student compensation on research grants, and the outlook for future NIH research funding.

**Mary Whitehead**, Chief Grants Management Officer, National Institute of Neurological Disorders and Stroke, National Institutes of Health.

**Session #6. NSF Update**

Changes at NSF will be highlighted along with a brief overview of the NSF budget and program areas of emphasis. Focus will be on recent grant policy changes and initiatives, "FastLane" and other electronic initiatives, and financial and other current issues. Topics such as special audit considerations and project monitoring will also be covered.

**Joanna Rom**, Acting Division Director, Division of Grants & Agreements, National Science Foundation; **Jean Feldman**, Deputy Head, Policy Office, Division of Contracts, Policy & Oversight, National Science Foundation.

**2:45 - 3:00 Break**

*Monday, April 22*

3:00 - 4:15 **Session #7. Perceptions of the Research Enterprise: Insights for Publicizing and Promoting the University's Mission**

This session will consider how research is perceived within the current environment where undergraduate teaching is often judged to be of the greatest value. This session will also explore how these perceptions impact on research administration and what insights we can gain to more effectively communicate to our "publics" (i.e., regents, legislators, the Governor, Congressional delegations, parents, corporations, students and faculty) the value of the research enterprise to the public good.

**Charles Geoffrion, Moderator**, Associate Vice President for Research, Research Integrity Officer & Director of Research Communications, University of Arizona; **to be named**.

**Session #8. (Repeat of Session #6) NSF Update**

Changes at NSF will be highlighted along with a brief overview of the NSF budget and program areas of emphasis. Focus will be on recent grant policy changes and initiatives, "FastLane" and other electronic initiatives, and financial and other current issues. Topics such as special audit considerations and project monitoring will also be covered.

**Joanna Rom**, Acting Division Director, Division of Grants & Agreements, National Science Foundation; **Jean Feldman**, Deputy Head, Policy Office, Division of Contracts, Policy & Oversight, National Science Foundation.

**Session #9. Coordinating and Presenting Grant and Contract Workshops**

Information will be presented on the pros and cons of coordinating workshops on a regional basis with other institutions, implementing required faculty workshops, targeting workshops for departmental personnel, and helpful hints in coordinating and presenting successful workshops.

**Mary E. Nunn**, Sponsored Programs Officer, Oregon State University; **Donald W. Allen**, Director, Grant and Contract Services, University of Washington; **Robert A. Lucas**, Director, Institute for Scholarly Productivity.

***Monday, April 22***

**3:00 - 4:15 Round Table Discussions**

Registration for the discussion groups will be on a first-come, first-served basis. Registration will be at the main Registration Desk, Monday, April 22, from 8:00 - 9:00 a.m..

1. Career Development, **Carol Quintana**, Associate Director, Arts and Sciences Research Center, New Mexico State University
2. Oversight of Human Research, **F. William Dommel, Jr.**, J.D., Senior Policy Advisor to the Director, Office for Protection from Research Risks; **Carey Conover**, Coordinator of Pre-Award Services, Northern Arizona University
3. General Business Practices, **Brian Farmer**, Compliance Officer, University of Idaho
4. Communication of Policies and Training, **Ann George**, Assistant Dean of Research and Compliance Support Officer, Stanford University.

**6:30 Bus Transportation - Monterey Bay Aquarium**

**7:00 - 10:30 Strolling Dinner - Monterey Bay Aquarium**

Members and their guests will have a private strolling dinner in the newly-constructed wing of the Monterey Bay Aquarium. This \$57 million facility opens March 2, 1996, and offers a glimpse of the two largest and least-understood habitats on earth: the open ocean and the deep sea. The gallery includes ocean sunfish seven feet tall or more; blue and soupfin sharks; green sea turtles; California barracuda; pelagic stingrays with a three-foot wingspan; and other powerful open ocean schooling fish, like yellowfin tuna. Also, this wing showcases the largest exhibit of delicate jellyfish species in the United States, including comb jellies, purple-striped jellies, sea nettles and crystal jellies.

Registration includes the cost of admission into the Aquarium, dinner and non-alcoholic beverages, and round-trip transportation from the Hyatt. Guest tickets must be purchased in advance with the conference registration.

***Tuesday, April 23***

**7:45 - 9:00 Breakfast Buffet & Regional Business Meetings**

*Tuesday, April 23*

9:15 - 10:30 **Session #10. From Here to ERAternity: The State of Federal Electronic Research Initiatives and How to Get There from Here**

This session will provide an update on the current status of federal electronic research initiatives, including NSF's FastLane, the DOE/NIH/DOD Electronic Data Interchange Project (EDI), EDISON, the NIH 2271 Project, and FDP's recent involvement in electronic initiatives. In addition, there will be an overview of various issues and questions that may need to be considered, as well as sample approaches that might be taken to help get our institutions ready to handle electronic commerce in the near future.

**Pamela Webb**, Manager, Sponsored Projects, University of California, Santa Barbara.

**Session #11. Update on Federal Regulations for Educational Institutions**

A revision to A-21 *Cost Principles for Educational Institutions* is scheduled for mid-March 1996; A-133 *Audits of Institutions of Higher Learning and Other Non-Profit Institutions* is scheduled to be revised this year; various agencies have been implementing the revised A-110 *Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations*. This presentation will provide current information on the changes, background on the changes, and how these changes may impact your institution.

**CeCe Manoochehri**, Moderator, Manager, Federal Grant and Contract Accounting, California Institute of Technology; **Dr. Earl Freise**, Director of Sponsored Research, California Institute of Technology; **Mr. Robert Hartsfield**, Assistant Director/Assistant Controller of Federal Financial Activities, California Institute of Technology.

**Session #12. ONR Update**

The current organizational structure of ONR and the priority research areas of the Divisions will be reviewed. Currently approved research thrusts will also be surveyed. The goals and requirements of selected special purpose program, e.g. University Research Initiative (URI) and education programs) will be presented. ONR's approach to announcing research interests, discussing preproposals, and evaluating proposals will be discussed.

**Dr. Donald E. Polk**, Director, Corporate Programs Division, Office of Naval Research.



*Tuesday, April 23*

10:30 - 10:45 **Break**

10:45 - 12:00 **Session #13. New Rules for an Old Game (without Excedrin): Process Redesign and Techie Tools**

Panelists from the University of Montana, Stanford University, and UCLA will discuss “pain free” process redesign. Discussion will include implementing redesign and what it looks and feels like after implementation. Panelists will also discuss “techie tools” available to researchers and will provide a live electronic demonstration of these tools.

**Hal Gollos**, Moderator, Research Manager, Stanford University; **Judy Fredenberg**, Grants Development Coordinator, University of Montana; **Connie Hartnett**, Research Manager, Stanford University; **Erin Lindsay**, Senior Administrative Analyst for Sponsored Research, University of California, Los Angeles.

**Session #14. Service/Recharge Centers - The Ten Commandments**

DHHS will be auditing more and more service/recharge centers. Do you know what they are looking for? Come learn the ten commandments of service/charge centers.

**CeCe Manoochehri**, Moderator, Manager, Federal Grant and Contract Accounting, California Institute of Technology; **Cary E. Thomas**, Director, Administration, University of Southern California, Information Sciences Institute.

**Session #15. The Research Endeavor--Reflections on the Past; Predictions for the Future.**

Join past NCURA presidents from Regions VI and VII for an interactive discussion about research administration. What is the relationship of the research endeavor to the academic mission of our institutions and the nation's economy? Why does this connection increasingly need to be defined and defended? How will public perceptions, federal policies, reengineering efforts, and technology change the research administration profession? How can research offices reasonably meet both customer service and oversight roles? What career preparation and professional development opportunities will best prepare administrators for current and future responsibilities? Come ready to share your own questions and insights.

*Tuesday, April 23*

**Terry May**, Moderator, Director of Research Administration, Northern Arizona; **Dr. Earl Freise**, Director of Sponsored Research, California Institute of Technology; **Dr. Henry O. Hooper**, Associate Provost for Research and Graduate Studies, Northern Arizona University; **Richard P. Seligman**, Director, Office of Contract and Grant Administration, University of California, Los Angeles.

12:00

**Regular Meeting Adjourned**

12:15 - 1:15 **Lunch for Workshop Participants**

1:30 - 4:30 **Conflict of Interest in Sponsored Research: Implementing the New Federal Requirements**

Colleges and universities that wish to accept grant awards from the National Science Foundation and the National Institutes of Health must now implement policies and procedures that address potential conflicts of interest on the part of investigators. This session will include a detailed review of the major requirements in both the NSF and NIH regulations. Who is required to make financial disclosure? What needs to be disclosed? How are disclosures to be reviewed? How can actual or potential conflict-of-interest situations be managed? The workshop will be conducted through a combination of lecture, discussion, and case study review. This workshop is intended for research administrators who are directly or indirectly involved in regulatory compliance issues. It is aimed at individuals who do not already have a thorough understanding of the NSF policy and NIH regulations concerning conflict of interest and at individuals who want to know more about issues that need to be addressed in implementing these new requirements.

**Richard P. Seligman**, Director, Office of Contract and Grant Administration, University of California, Los Angeles; **Christina K. Hansen**, Director, Office of Research Administration, University of California, Irvine.

**NCURA REGIONS VI & VII MEETING - MONTEREY, CALIFORNIA, APRIL 20-23, 1996**

<b>Date</b>	<b>Time</b>	<b>Function/Session</b>
<b>Saturday, 4/20/96</b>		Organized Sporting Events - Golf, Tennis
<b>Sunday, 4/21/96</b>	8:00 - 9:00	Workshop and Meeting Registration
<b>Workshop</b>	9:00 - 4:30	Grant Proposal Development for the Research Administrator: The Buck Starts and Stops Here
	4:00 - 6:00	Meeting Registration
	5:00 - 6:30	Hospitality Suite Open
	6:30	Dinner Groups
	8:30 - 12:00	Hospitality Suite Open
<b>Monday, 4/22/96</b>	8:00 - 9:00	Meeting Registration
	8:00 - 9:00	Continental Breakfast
	9:00 - 10:15	Welcoming Remarks/Opening Session: Peter Brewer, Executive Director, Monterey Aquarium
	10:15 - 10:30	Break
	10:30 - 11:45	#1 Business Practices: IRS and Audit Issues
		#2 OPRR's Role in Human Subjects Compliance - The Basics & The Issues in Human Subjects Research
		#3 NIH Update
	12:00 - 1:15	Lunch
	1:30 - 2:45	#4 Cost Accounting Standards Board Requirements: Institution and Department Roles
		#5 NIH Update (Repeat of Session #3)
		#6 NSF Update
	2:45 - 3:00	Break
	3:00 - 4:15	#7 Perceptions of the Research Enterprise: Insights for Publicizing and Promoting the University's Mission
		#8 NSF Update (Repeat of Session #6)
		#9 Coordinating and Presentating Grant and Contract Workshops
	3:00 - 4:15	Round Table Discussions
	6:30	Bus Transportation - Monterey Bay Aquarium
	7:00 - 10:30	Strolling Dinner - Monterey Bay Aquarium
<b>Tuesday, 4/23/96</b>	7:45 - 9:00	Breakfast Buffet & Regional Business Meetings
	9:15 - 10:30	#10 From Here to ERAternity: The State of Federal Electronic Research Initiatives and How to Get There from Here
		#11 Update on Federal Regulations for Educational Institutions
		#12 ONR Update
	10:30 - 10:45	Break
	10:45 - 12:00	#13 New Rules for an Old Game (without Excedrin): Process Redesign and Techie Tools
		#14 Service/Recharge Centers - the Ten Commandments
		#15 The Research Endeavor--Reflections on the Past; Predictions for the Future.
	12:00	Regular Meeting Adjourned
	12:15 - 1:15	Lunch for Workshop Participants
<b>Workshop</b>	1:30 - 4:30	Conflict of Interest

The Hyatt Regency Monterey...Casual elegance in a forest-like setting. A sense of history surrounds the hotel with nostalgic photos of Old Monterey adorning the guest rooms, and a spirited sports bar filled with memorabilia.

- 5 minutes from Monterey Peninsula Airport; 90 minutes from San Jose Airport
- 2 hours south of San Francisco; 5 hours north of Los Angeles.
- On the Del Monte Golf Course; 6 tennis courts (2 lighted); 2 swimming pools; jogging trail; fully equipped health and fitness center.
- Minutes from Carmel, Big Sur, Fisherman's Wharf, Cannery Row, Pebble Beach and Spyglass golf courses, and the attractions of Monterey Bay.

#### Program Committee

Kathi Delehoy, Co-Chair, Colorado State University  
Christina Hansen, Co-Chair, University of California, Irvine  
Michelle Armstrong, Stanford University  
Hal Gollos, Stanford University  
Jeffrey Knorr, Naval Postgraduate School  
Mike Lewis, Utah State University  
Cece Manoochhri, California Institute of Technology  
Terry May, Northern Arizona University  
Janie Morales-Castro, Arizona State University  
Cary Thomas, University of Southern California  
Geri Walker, Western Washington University  
Patti Yano, Western Consortium for Public Health  
Carol Zuiches, Washington State University