



NCURA *Peer Advisory Service*

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Washington State University

Focused Analysis Report

Report Date Dec 9, 2016

Site Visit Date Oct 27-28, 2016

The purpose of the NCURA engagement was to perform an evaluation of the infrastructure supporting the animal use and compliance program. In addition, the Peer Advisor was asked to evaluate the organizational structure and institutional commitment as well as the applicable policies, procedures and systems in place to ensure regulatory compliance.

The engagement was commissioned by Dr. Christopher Keane, Vice President for Research (VPR), and coordinated by Mr. Michael Kluzik, Director of the Office of Research Assurances (ORA). Administrative support to the University's Institutional Animal Care and Use Committee is provided by ORA staff. The Office of the Campus Veterinarian (OCV), a critical component of the animal care and compliance program, reports directly to the VPR.

Washington State University is a public land-grant mid-sized comprehensive research institution, ranking in the high-sixties of the most recent (2015) National Science Foundation rankings of all higher education research and development expenditures. In 2015, sponsored program awards totaled approximately \$197 million from a wide variety of sources. In 2016, sponsored program awards totaled approximately \$219 million, of which approximately \$25 million (11.4%), depended on the use of animals, primarily from NIH and USDA and other agriculturally related sponsors.

A copy of the two-day schedule is attached as Appendix B.

Observations

The following observations and suggestions are offered as a result of the site visit and an analysis of brief materials provided in advance. We offer broad themes, acknowledging that two days are insufficient to offer detailed recommendations about specific strategic initiatives. These themes are not necessarily in order of priority.

I. STANDARD for Institutional and Research Compliance Planning.

The institution has defined written priorities and strategic plans as they relate to research. The compliance program has clearly articulated action plans that support and advance the institutional research priorities. The relationship of the research strategic goal successes, and the infrastructure commitments to support a research compliance program, is understood by the institutional and operational program leadership. An institutional commitment to research and the concomitant research compliance program infrastructure is clearly evident at all levels of the organization as appropriate to the culture, mission, and strategic plans.

Washington State University (WSU) has articulated a general strategic plan for research. Briefly, WSU wishes to move up in the national rankings of public research institutions and to be ranked in the top twenty-five public research institutions by 2030. The animal care and compliance

program could benefit from a clearly articulated action plan that supports and advances this institutional research priority. The relationship of the research strategic goal successes and the infrastructure commitments to support a research compliance program, in particular the animal care program, appear to be understood by institutional and operational program leadership. However, while an institutional commitment to research and the concomitant research compliance program infrastructure is clearly recognized, an increased level of planning and infrastructure support at all levels of the organization has yet to be incorporated into the culture, mission, and strategic plans of the research enterprise.

It is not clear that the relative priority of the administration of research has been clearly established and communicated to faculty and staff.

Notably, WSU, through its recent emphasis on increased transparency and communication led by the VPR, is striving to create a culture of responsibility where each individual is involved in compliance and where all understand that a collective effort is necessary to create changes in infrastructure support and facilities management that will improve the overall effectiveness and efficiency of the animal care program. Programmatically, WSU should recognize that in today's universities, animal care and compliance programs need to be addressed holistically, in the same fashion that has driven human subjects research as that component of university research has grown more complex and more burdensome.

- **Recommendation: The VPR should continue to articulate and address the impact of a higher volume research portfolio on research compliance programs and, in particular, the animal care and research compliance program.** Such an articulation and buy-in from relevant faculty and other stakeholders would provide an overarching goal toward which stakeholders can aspire.

Washington State University does not appear to have established a process to periodically assess the changing needs of the animal care and research compliance program beyond the semi-annual IACUC evaluation. Such a process is necessary to manage the increasingly complex or higher volume research portfolio to which the University aspires.

- **Recommendation: The VPR should commit to a periodic evaluation of the animal care and research compliance program.** As the University moves along the path for improving the animal care and research compliance program, a periodic independent external evaluation can help identify progress and provide guideposts for future goals against national standards and practices.

Sufficient data on the “health” of the animal care and research compliance program do not seem to be available to key stakeholders to allow them to understand and manage their institutional priorities in this area, although the Office of the Campus Veterinarian (OCV) does maintain a database of clinical observations and reports for timely veterinary follow-up. With respect to the review and approval of animal care and use protocols, few, if any, metrics are available to diagnose problems, trends, or to identify administrative bottlenecks.

- **Recommendation: The VPR, in conjunction with the animal research compliance program leadership (ORA, the IACUC, and OCV), should create goals, objectives and performance metrics that demonstrate the support of institutional research priorities and the effectiveness and efficiency of the IACUC review process, and clearly communicate this information to stakeholders.** Implementation of the on-line animal protocol system, if properly designed, will assist in gathering valuable information on IACUC turn-around time, as well as on faculty response times to queries. Additionally, when the IACUC performs its semi-annual evaluation of the program, facilities managers should get feedback on their management of the facilities.

Notably, the College of Veterinary Medicine and the College of Agricultural, Human and Natural Resource Sciences have developed a robust program of media preparedness. Key representatives have undergone media training and spokespersons have been selected to represent each of those Colleges. In addition, protocols for the Colleges which may be problematic from a public relations standpoint have been identified. However, there is no University-wide plan for addressing public inquiries and explaining the benefits of using animals in research. How and why animals are used in research is often misunderstood by the lay public.

- **Recommendation: The VPR, in consultation with the University's Communications Office, should implement an anticipatory public relations plan.** Protocols that may be sensitive from a public relations stand point, or whose scientific goals and rationale may be more difficult for a layperson to understand, should be identified and recast in layman's terms. Responsible spokespersons (either the investigator and/or University designated spokesperson) should be identified and media trained, as appropriate. Additionally, the IACUC may wish to consider having a policy on media (manuscripts and internal webpages) presentations for investigators and a policy on access to animal facilities by community members or media. Recent events underscore the value of having prepared responses to media, animal rights activists, and state legislators.

2. STANDARD for Organization of the Research Compliance Program.

The institution has identified offices and structures that support the overall management and administration of the research compliance programs and, in particular, the development and implementation and management of programs to comply with externally mandated regulations. The institution has defined roles, relationships and authorities between offices where institutional functions in different areas of the institution may intersect with the research compliance program. As appropriate to the organizational structure, senior research compliance leadership is represented in key academic and institutional groups. Where sufficient research volume and activity warrant, the institution has addressed school, college, department, or center needs for the research compliance infrastructure that resides in those units.

Washington State University has organized a number of offices and structures that support the overall management and administration of the research compliance programs under its Office of Research Assurances (ORA). Senior research compliance leadership (the Director of ORA) is a member of a key academic and institutional group, the VPR's Research Council. Through the Council, research compliance issues are raised, and through the Research Council, the VPR works with school, college, department, and centers to address the needs of the research compliance infrastructure.

Whenever research involving animals is carried out that is not approved, violates an approved animal care protocol, or demonstrates serious or continuing non-compliance, that fact must be reported to the appropriate federal oversight agency. This reporting to regulatory agencies appears to happen, although surprisingly infrequently, given the size of the institution. This might be attributed to the paucity of incidents themselves or under-reporting due to not recognizing that incidents may be reportable. Interviewees did indicate that when there was uncertainty about whether an incident should be reported, consultation with OLAW did occur.

An important component of an animal care and research compliance program is the integration of the program with the University's business functions and offices supporting sponsored research. For example, if the affected work is sponsored by the PHS, any project(s) affected by the unapproved work or non-compliant activity must be identified to the oversight agency and any related expenses must be removed from the supporting grants or contracts. In discussions with staff, there does not appear to be an effective operational process between the animal care and compliance program and other business functions of the University to review and make expense adjustments to supporting grants and contracts when unapproved work occurs on animal care and use protocols. This is a compliance risk.

- **Recommendation: The Office of Research Support and Operations, ORA, and the appropriate University accounting offices must develop a process to identify, review, and make expense adjustments to grants and contracts which are used to support unapproved or non-compliant animal work, as necessary.** The University should establish a reasonable threshold of expenses above which it will make the necessary adjustments. Some universities establish a \$100 (direct costs) threshold for such adjustments. Such a process, in addition to complying with sponsor and oversight agency policies, will also highlight for investigators the monetary consequences of doing unapproved work or using animals on lapsed protocols.

3. STANDARD for the Organization of the Research Compliance Committees.

Compliance oversight committees are appropriately established and constituted and represent existing areas of research. The authority and role of compliance committees is clearly defined and
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understood. Effective operational processes exist between the research compliance program and business functions.

As specifically discussed in the section below, the IACUC is appropriately established and constituted and represents existing areas of research. The authority and role of the committee is clearly defined in Policy and understood in practice. Committee membership includes a broad spectrum of faculty, administrators, representatives of other compliance oversight committees and functions that routinely overlap in areas of protocol review or policy, and community representatives. An important by-product of serving on an IACUC is that faculty members become more aware of regulatory requirements and often bring perspectives of their disciplines to the IACUC that make the committee more effective. WSU may also wish to avail itself of presentations by the IACUC 101 organization (IACUC101.org) which provides basic and advanced training for IACUC members taught by national IACUC experts.

- **Recommendation: The VPR, in consultation with the IACUC Chair, should make a concerted effort to recruit faculty from heavy animal user departments to serve on the IACUC.**

Anecdotally, the roles and responsibilities of the Committee Chair, compliance staff, the Attending Veterinarian, and the Institutional Official appear to be clearly understood, even though specific responsibilities for reporting to oversight agencies and sponsors and for communicating with researchers are not reduced to writing and may depend on the preferences of individuals occupying the various positions. It should always be clear within the institution who (i.e., the chair of the IACUC, its administrator, the Attending Veterinarian, or the IO) should interact with regulators (federal/state agencies) and accreditors on various issues. As the animal care and research compliance program grows in complexity and sophistication, a clear delineation of roles and responsibilities is critical to an effective program.

- **Recommendation: Lines of authority and coordination of functions among the IACUC Chair, the Attending Veterinarian, the IACUC Administrator, and the IO should be clearly delineated in writing.** For example, responsibility for drafting letters and otherwise communicating with oversight agency officials, communicating with investigators regarding protocol violations, and assigning final authority in decision-making, policy development, and enforcement should be defined.

Throughout the interview process, several faculty noted that it was not infrequent to obtain differing information on process or need for protocol modifications dependent on to whom the question was addressed.

- **Recommendation: The IACUC, ORA, and the OCV should develop 1) a matrix of responsibilities of the offices and of researchers and 2) a companion matrix providing, by example, what changes in protocols require a formal modification submission.** The matrices of roles and responsibilities and

modification requirements should be communicated to stakeholders, understood, and accepted by the key individuals.

The IACCU Chair must have unimpeded access to the Institutional Official (IO) and there should be a regular cycle of communication established to ensure the IO is informed on committee activities and challenges. The Vice President for Research is the IO for the IACUC and understands the commitments for this position. However, only recently have events necessitated frequent meetings of the IO with the IACUC Chair, the Attending Veterinarian, and the Director of ORA.

- **Recommendation: The VPR should formalize periodic scheduled meetings with the IACUC Chair, the Attending Veterinarian, and the Director of ORA (or his/her designate).** Such periodic meetings will result in an open line of access and communication among the IACUC Chair, the Attending Veterinarian, and the Institutional Official, and will serve to prevent small issues from escalating into larger issues.
- **Recommendation: The VPR should institute a program of evaluation of the IACUC Chair to discuss areas for improvement and goals for the following year.** The IACUC Chair, in turn, should evaluate IACUC members on their committee participation and contributions to the important work of the IACUC.

25. STANDARD for Use of Animals in Research.

The institution has effective systems in place that comply with federal and state regulations for the ethical protection for the humane care and use of animals used in research and teaching.
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Washington State University has established an Institutional Animal Care and Use Committee (IACUC) in accordance with federal regulations to review, approve, require modifications to, or disapprove, suspend, or terminate activities involving animals used in research, teaching, testing, and exhibition (as appropriate). The IACUC is currently chaired by a Professor in the College of Education.

WSU's Office of the Campus Veterinarian (OCV) is directed by an ACLAM board-certified veterinarian (the Attending Veterinarian) on a full-time basis to provide animal husbandry and to work with the IACUC. In addition, two other veterinarians with experience in clinical, laboratory, and large animal medicine are employed in the OCV. An additional retired small-animal practice veterinarian is tasked with maintaining a training database and providing hands-on training to researchers as necessary.

WSU has a written assurance with the DHHS and is also registered with the USDA for the use of animals in teaching, testing, exhibition, and research.

Responsibility for tracking, reporting, and maintaining compliance with the Animal Welfare Act and the *Public Health Service Policy on Humane Care and Use of Laboratory Animals* is currently assigned to veterinarians and veterinary technicians in the OCV. The next section will address a number of recommendations for staffing and reassignment of certain of these administrative responsibilities within the animal care program.

Because the administrative support for the IACUC resides in ORA, which is directed by an individual with extensive experience in occupational health and safety, animal use that involves controlled substances appears to follow the institution's program of oversight for those substances. There also appear to be appropriate interfaces with other compliance program areas including biosafety, controlled substances, radiation safety, and occupational health. The institution has an occupational health program to meet the needs of animal research personnel and regulatory requirements.

Washington State University is AAALAC accredited and follows AAALAC standards and principals, as enumerated in the 8th edition of the *Guide for the Care and Use of Laboratory Animals*, in IACUC reviews, in the treatment of animals, in its occupational health program and in the semi-annual evaluation of the animal care program.

The *Public Health Service Policy in the Humane Care and Use of Laboratory Animals* requires, *inter alia*, that the IACUC conduct a review of those components of PHS supported research projects related to the care and use of animals to determine that the proposed research projects are carried out in accordance with the PHS policy. More colloquially, the IACUC is required to determine the congruency of a proposed or funded PHS research application to the animal care and use protocol(s) approved by the IACUC purported to support that project. WSU does not appear to have a process by which to ascertain congruency between approved animal care and use protocols and the underlying grants and contracts supporting those activities. This situation poses a serious compliance risk. (See: <https://www.youtube.com/watch?v=KN81Hq87Q-0>).

- **Recommendation: The IACUC and the administrative staff supporting the IACUC should immediately develop a program for determining congruency between PHS supported research and the underlying animal care and use protocols.** Where congruency is absent, the IACUC should require revisions and/or modifications of the protocol to secure approval by the IACUC.

Along these lines, the institution has developed some Standard Operating Procedures (SOPs) for the use and care of animals in research which are available to all animal users. However, a number of faculty, in commenting on the protocol review process, noted that even when these SOPs are referenced in protocols, the IACUC reviewers often ask questions that are answered within the SOP itself.

- **Recommendation: The IACUC, along with the OCV, the IACUC administrative staff, and relevant members of the faculty, should develop additional discipline-related SOPs.** Additional SOPs that reflect commonly used procedures will facilitate more timely review of protocols. Moreover, IACUC reviewers should have ready and facile access to these SOPs so as to not burden researchers with questions on the procedures unless exceptions are sought.

6. STANDARD for Research Compliance Staffing

The institution has invested in sufficient number of staff to support the core functions of the research compliance program's operation and to meet the obligations to sponsors and federal and state mandated regulations. The institution has an appropriate staffing plan for the research compliance program that contains elements of recruitment, retention, and succession for key positions. Clear expectations exist for training appropriate to responsibilities for all level of staff and at central and unit levels (where applicable).

Currently, Washington State University has one administrator assigned to support the protocol review functions of the IACUC. WSU has approximately 650 active research protocols. During the lifecycle of a protocol, many actions, such as modifications, inquiries, preparation for IACUC meetings, and so forth, magnify the activities of the administrator by 2-3 times the number of active protocols. As a practical matter, this leads to delays in processing of protocols, delays in responding to queries, and delays in follow-ups on needed responses from PIs.

One administrator is an insufficient number of staff to support the core functions of the animal care and research compliance program's operation and to meet the obligations to sponsors and federal and state mandated regulations and requests. Another institution with which the Reviewer has familiarity has a similar number of active protocols. That institution has a protocol approval unit led by an assistant director (who also has other additional responsibilities related to USDA and OLAW annual reporting). The unit has three protocol approval specialists and an administrative assistant. The approval specialist responsibilities are to timely process protocol applications, circulate them, and follow-up on required actions on behalf of the IACUC and the Designated Member Reviewers.

- **Recommendation: The ORA, in conjunction with the VPR, should develop a position description and begin the hiring of a protocol approval specialist.** Hiring for this position will send an immediate message to the user community that their needs are being addressed and that the University is attempting to reduce the protocol approval backlog.

In addition, as noted in the Standard above, WSU does not appear to have a process by which to ascertain congruency between approved animal care and use protocols and the underlying grants and contracts supporting those activities.

- **Recommendation: The ORA, in conjunction with the VPR, should develop a position description and begin the hiring of a protocol congruency specialist.** Individuals with training as veterinary technicians or advanced graduates could make ideal candidates for this type of activity. This individual could also serve initially as a Protocol Liaison (described below) until the institution has gained further experience with the workings of both positions.

Discussions with faculty indicated that there is much cycling back and forth of questions between researchers and reviewers for a number of reasons, including inadequate procedure descriptions, missing information on experimental or procedural dosages, and so forth. A number of institutions have begun to recognize the inefficiency of using the protocol review process as a means of refining a given protocol. In this regard, the concept of a “protocol liaison” specialist whose task would be to become familiar with a given group of investigators and to anticipate point of clarity and missing information on protocols has begun to take hold. In short, the protocol liaison would “tee up” a protocol for quicker review and approval by the IACUC. Optimally, the liaison would have a particular disciplinary orientation. In addition, such a person could serve on other occasions as the congruency specialist.

- **Recommendation: The ORA, in conjunction with the VPR, should develop a position description and begin the hiring of a protocol liaison specialist.** Individuals with training as veterinary technicians or advanced graduates could make ideal candidates for this type of activity. This position could be piloted to work with some of the larger animal user departments and could also be deployed at some of the larger non-Pullman campuses, e.g., the Spokane Medical School.

Similar to the reasons stated above for protocol approval, the Post Approval Review process appears to be understaffed with only one individual tasked with this responsibility. Like institutions have two or more protocol approval monitors. Moreover, post approval monitoring is complementary to protocol congruency. Because of insufficient staff most post approval reviews at WSU only take the form of “tabletop” exercises, i.e., before actual work involving animals has begun. The most useful post approval monitoring would be for those protocols that are just being initiated, particularly those which involve non-SOP or first time procedures, to allow for any needed refinements to occur, to correct any missing elements in protocols and to serve as an opportunity for training and education. As importantly, in these types of interactions, the post approval monitor can serve as a valuable bridge and ambassador from the animal care and use program to the researchers.

- **Recommendation: ORA, in conjunction with the VPR, should immediately begin to hire a second Post Approval Specialist.** Individuals with training as veterinary technicians could make ideal candidates for this type of activity. This position would be complementary and additive to the liaison and congruency specialists recommended above.

It appears that adequate staff and systems are in place to track, report, and maintain compliance with the Animal Welfare Act, the *Public Health Service Policy on Humane Care and Use of Laboratory Animals*, and applicable occupational health regulations. This function, however, is housed primarily within the OCV and it may not be the most effective way to utilize the veterinary training of the individuals involved.

- **Recommendation: The VPR, in conjunction with the OCV, should transfer positions in the OCV responsible for the administrative tasks of OLAW and USDA reporting, tracking training, and compliance with occupational health**

requirements to a more formalized animal care program within ORA. The VPR should then take this opportunity to assess the number and types of veterinary staff needed within the OCV to provide the appropriate level of veterinary oversight and animal care and husbandry necessary for the very diverse research and production animal population at the institution.

With the positions recommended above, it is critical that 1) staff has adequate training and skills for the tasks; 2) staffing is sufficient to meet the service requirements of constituents by providing timely services; 3) staff are able to satisfy the research compliance requirements of sponsors and federal and state regulations; 4) there is a recruitment and retention plan for research animal care and use compliance administrators; and 5) the animal care and compliance program positions are appropriately titled and compensated and have an established career path.

Finally, the animal care and compliance program should be led by an individual knowledgeable about all of the requirements applicable to the functioning of the IACUC, reporting or regulatory agencies, and AAALAC requirements. Compliance programs involving human subject have long adopted the notion of a “human subjects program administrator” to lead all aspects of the program.

- **Recommendation: The VPR, in conjunction with the Director of ORA, should immediately begin the process of hiring a senior animal care and compliance administrator.** At many universities, these positions are held by individuals with training in research, often at the Ph.D. or DVM level.

Furthermore, for all of the aforementioned positions, it is crucial that staff have knowledge of the organizational structure of the regulators (federal/state agencies) and accreditors with whom they interact and are able to contact the appropriate individual or office when they have questions.

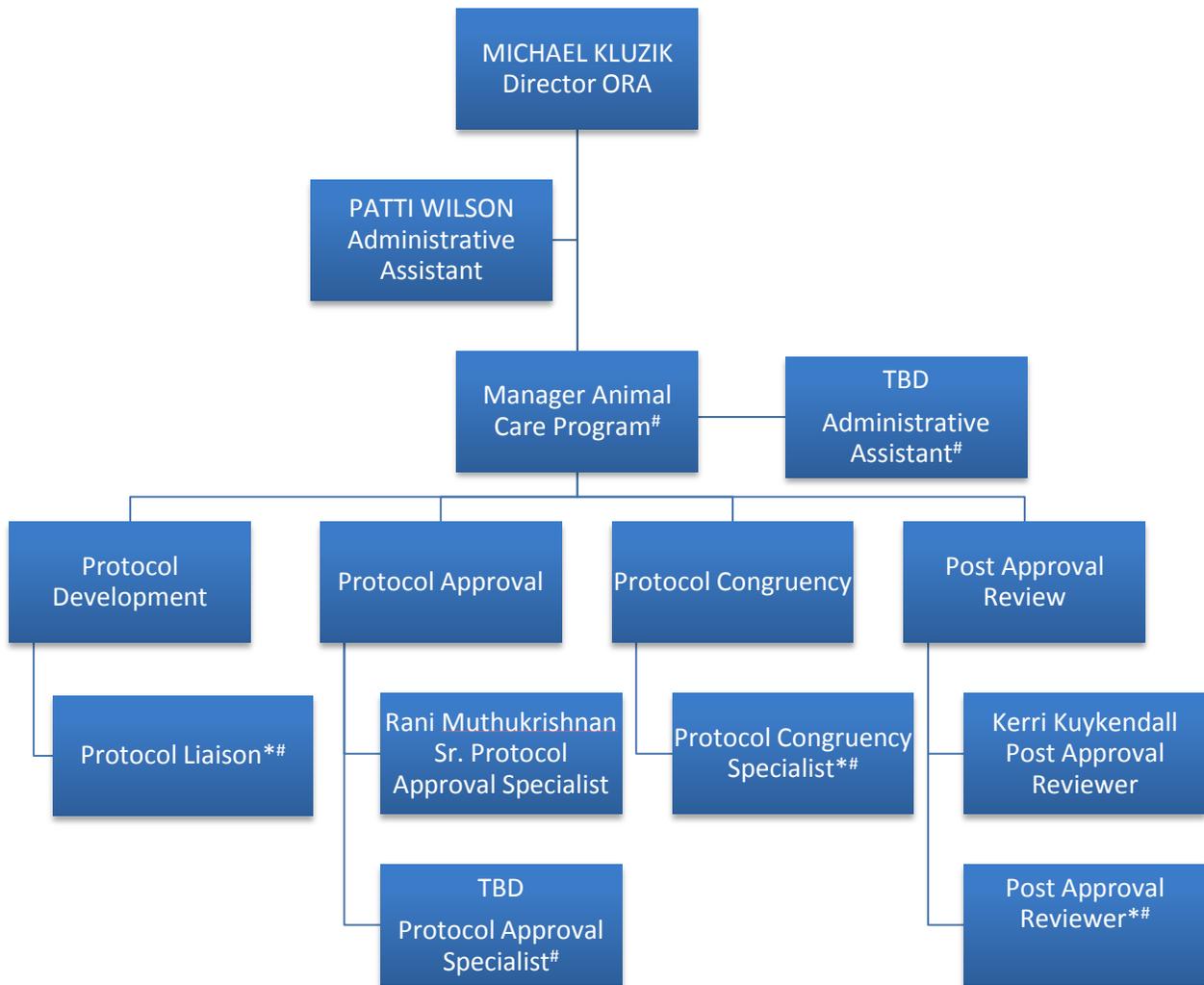
- **Recommendation: The institution, in conjunction with ORA, should develop an appropriate staffing plan for the animal care and compliance program that contains elements of recruitment, retention, and succession for key positions.**

Staff training and professional development are important components of a comprehensive compliance program. It was not clear, that with only one IACUC administrator, that there would be sufficient time and wherewithal to allow staff training or opportunities to learn from other institutions. With only one administrator it is difficult take advantage of opportunities to remain up-to-date on changes to regulations and relevant sponsor’s policies, effective procedures and processes, and appropriate oversight activities through access to “listservs,” webinars, or conferences.

- **Recommendation: ORA should ensure that it has a training program for IACUC administrators at all levels and that clear expectations for training appropriate to responsibilities for all level of staff are communicated and accepted by staff and faculty.** Staff in research compliance functions or supporting committees should receive training and instruction in accordance with

an established comprehensive plan. Especially important in these roles are skill development in communication and interpersonal skills.

The following depicts an organization chart illustrating the relationships of the various proposed positions mentioned above.



*These positions can be blended initially and then separated over the course of time and in conjunction with a multiyear budget plan and program needs.

#New position.

7. STANDARD for Resources to Support the Research Compliance Program

The institution has in place a process to identify changing resource needs for research compliance administration as relates to changes in the institutional priorities and the external environment. Such resources encompass staffing, space, information technology, and financial resources to support the staff in carrying out their compliance program functions.

The animal care program at Washington State University clearly has evolved in an organic way over the course of several years, changing as external pressures have come to bear. Nevertheless, it still has the same number of administrative staff as it did ten years ago, when the number of protocols was one-tenth of the current number. In that time, OLAW guidance, the complexity of issues, and effective practices have evolved in such a way that require a greater level of sophistication than is currently in place. In addition, the institution has not developed an efficient and effective approach to managing WSU's 30 or so animal care facilities; major schools, departments and even faculty manage vivaria with the concomitant inefficiencies: non-uniform standards for care and health, poor cross-utilization of staff to cover vacations and illness, and varying pricing structures that result from such an approach. It should be noted, however, that from a compliance standpoint, the Campus Veterinarians have unfettered access to the facilities as is required.

In conversations with Deans, faculty, and facilities managers and staff, it is clear that there is receptivity to the notion of centralized management of the facilities by OCV. Perceived barriers seem to center around cost and pricing.

- **Recommendation: The VPR, along with the Research Council, should develop a multi-year transition plan to consolidate animal facilities under the direction of the OCV.** A multiyear plan would permit budgetary transitions, allow for piloting of management approaches, and enable mid-course corrections as necessary.

An important aspect, beyond sufficient knowledgeable staff, is the availability of technological resources to reduce administrative burden for both faculty and staff. At the moment, the single IACUC administrator and the faculty are heavily engaged in the proverbial "paper chase." This is inefficient and frustrating for all. At the time of this review, programming for an on-line protocol approval form was well underway, primarily by IT staff from the Office of Research Support and Operations.

The IACUC and staff have placed great hope that an on-line approval form will solve many of the structural problems of facile protocol approval. One immediate potential problem is that the on-line form will only serve to "pave the cow path" or, in other words, hard-wire current process

inefficiencies. Design of on-line systems presents an important opportunity to examine existing processes, question their necessity, and design alternative approaches to information gathering.

- **Recommendation: ORA and the Office of Research Support and Operations, under the clear sponsorship of the VPR, should immediately assemble a small but committed faculty group to engage in the design of the on-line form rather than waiting until pilot roll-out before faculty feedback is sought.**

Washington State University would benefit from a process to identify changing resource needs for the animal care and compliance program as they relate to changes in the institutional priorities and the external environment. Such resources should encompass the need for staffing, space, information technology, and financial resources to support the staff in carrying out their compliance program functions. Notably, WSU has a College of Veterinary Medicine. While most Vet students appear to have interests in areas other than Laboratory Medicine, greater efforts should be expended to leverage College faculty, students and interns in the business of providing veterinary care across the spectrum of research animals utilized at WSU, which go well beyond the typical rodents and other small animals.

- **Recommendation: The VPR, together with ORA and OCV, should develop a five-year budget plan that would accommodate redeployment of existing staff, additional personnel resources, sufficient technology support, and transitioning to centrally managed animal facilities.** Involving College of Veterinary Medicine faculty in some of these discussions could bring valuable insights and even resources to the animal care and compliance program at WSU. Parenthetically, building or remodeling of vivaria should make greater use of knowledgeable veterinary staff in the design and assessment of space needs for incoming or moving faculty.

8. STANDARD for Faculty Engagement and Faculty Burden

<p>The institution has considered the impact on faculty in meeting compliance obligations and mechanisms to reduce or manage that burden. Faculty have opportunities to raise concerns relating to expectations and commitments and there are clearly identified channels for such.</p>

Several of the report sections above have alluded to the need for greater faculty involvement in various aspects of the animal care and compliance program. Faculty and staff must have opportunities to voice concerns or raise questions regarding implementation of policies/procedures, operations, or other research compliance-related issues and understand the appropriate channels for doing so. As WSU rolls out new forms or requirements, it should consider the burden on faculty and should look to mechanisms to reduce or manage that burden. Faculty should also understand the various regulatory requirements and external pressures that drive expectations of an animal care and compliance program and that the actions proposed are

balanced against the risk posed. The VPR's Research Council is one approach to addressing faculty input. The animal care and compliance program, however, is a significant component of the research enterprise that would benefit from the immediate input of knowledgeable and influential faculty.

- **Recommendation: The VPR should constitute a faculty advisory committee consisting of knowledgeable and influential faculty to provide advice and feedback to the animal care and compliance program.** This committee could have a finite life-span that corresponds to the changes that are occurring or are contemplated in the animal care and compliance program. Irrespective of the life span of the committee, providing focused faculty advice to the VPR and the IACUC will provide a valuable outlet for those who see the imposition of compliance requirements as self-serving.

12. STANDARD for Risk Assessment.

The research compliance program is risk based and the institution periodically reviews the research compliance program policies and performs appropriate audit and risk assessment activities. There is an expectation for a regular and thorough assessment of the effectiveness of the program's operation. The institution has mechanisms to monitor the national landscape for emerging areas of risk.

As noted earlier, in order to ensure that WSU continues to improve its animal care and compliance program, there should be a thorough, periodic review of the research compliance program policies and procedures that also include the review of internal controls, quality improvement, and other similar approaches.

Washington State University needs a statement and a process for identifying and mitigating risk in its compliance programs. Particularly, WSU should develop a system for ongoing monitoring and auditing of research compliance policies and their application for effectiveness. Anecdotal evidence discussed on-site indicated, for example, that the recently adopted animal care compliance policy did not provide enough flexibility and nuance to address gradations of perceived violations. One example that was mentioned was the reporting to a large number of supernumeraries any non-compliance, even though the policy notes that such reporting would occur "depending on the circumstances." Faculty objections may be driven in part because of a more evident emphasis on compliance. Nevertheless, it is important to monitor and collect metrics on the application of the policy to verify such perceptions.

WSU should ensure that there is a system for monitoring new sponsor and regulatory requirements, external trends in federal audit and compliance, and risk areas at the national level. New requirements or risk areas should be addressed within institutional policies, education and outreach programs, and compliance reviews, as appropriate.

It should be noted that the University's OMB Circular A-133 (Single Audit) auditors are authorized to delve into non-financial research compliance areas. Therefore, it would be useful for WSU's Internal Audit function to include, from time to time, an assessment or audit of the functions of the IACUC and to assess investigators' compliance with policy and procedures and approved protocols.

Appendix A: National Standards for Effective Sponsored Program Operations

The National Council of University Research Administrators (NCURA) developed these National Standards to represent the institutional baselines that provide a supportive environment for the conduct of research and other sponsored activities as well as the broad operational and core functional areas of sponsored programs management.

Unlike an audit, this peer review performs an assessment of your research administration “program” that goes beyond merely highlighting deficiencies in process. The assessment contains three interrelated features: senior and experienced research administrator Reviewers, the National Standards, and a philosophical approach that provides consistency in the review process with an understanding of institutional culture. These key features result in an assessment of *effectiveness* of sponsored research environments at the institutions undergoing peer review.

The NCURA National Standards are used by experienced and senior research administrators to assess the effectiveness of the research administration program. While recognizing that institutions differ in organizational structure and institutional priorities, these Standards reflect how the institution integrates the research enterprise with its institutional goals and expectations and operationalizes effective sponsored programs administration. The Standards allow Reviewers to assess how closely that integration relates to institutional and stakeholder goals and expectations. The Standards contain a list of over 165 features that are utilized by the Reviewers during their assessment and that are used as the basis for the written report.

Appendix B: NCURA Peer Review Team Bios



NCURA Advisory Team Bios for Washington State University

The National Council of University Research Administrators has developed a formal system of assessment for offices of sponsored programs, in part, from its purpose as a professional development organization. The mission of professional development organizations, like NCURA, is to provide education and training to its members as well as others within the research community. Many educational efforts implicitly, if not explicitly, provide information on effective practices, techniques for success, and models of excellence. Setting standards and identifying quality of organizational performance, therefore, are expected functions of professional development organizations. In fact, no other activity of a professional development organization may be as important as the articulation of the standards and core practices of the profession. The NCURA system of peer review was developed for this purpose.

Andrew B. Rudczynski, Ph.D.

Number of Years in Research Administration: 35

Institutions: Yale University, University of Pennsylvania, Rutgers University, University of Maryland Eastern Shore

Dr. Andy Rudczynski retired from Yale University in June 2015 as the Associate Vice President for Research Administration. The position was the senior university research administration officer reporting to the Provost and to the Vice President for Finance and Business Operations responsible for the University's systems and processes for research administration, conflict of interest, human subjects and animal welfare, accounting, and the University's research compliance programs. Andy was the Institutional Official for human subjects and animal welfare, and was responsible for developing numerous research policies and procedures to improve Yale's research administration profile.

Prior to joining Yale in 2006, Rudczynski served as Associate Vice President for Finance and Executive Director of Research Services at the University of Pennsylvania (UPenn). In that role he was responsible for managing the administrative support for UPenn's sponsored research enterprise. Before joining UPenn in 1999, Rudczynski was Associate Vice President for Research Policy and Administration at Rutgers University where, for 16 years, he was responsible for all aspects of the school's research support, including grant and contract administration, institutional review boards, technology transfer and animal care. Prior to Rutgers, Rudczynski worked in research administration at the University of Maryland Eastern Shore, as a research scientist at the Michigan Cancer Foundation, and as a Principal Investigator at the U.S. Army Medical Research Institute of Infectious Diseases.

Andy holds a B.Sc. in biology and biochemistry from McGill University, a Ph.D. in Immunology from Syracuse University, and an M.B.A. from Southern Illinois University. He was a member of the Executive Committee of the Council on Governmental Relations (COGR) and served on its Board for six years, chaired its Research Compliance and Administration Committee, and served on COGR Task Forces on Conflict of Interest and Institutional Conflict of Interest. Andy was a contributor to COGR's monographs on *Compensation, Effort Commitments and Certification*; *Recognizing and Managing Personal Conflicts of Interest*; and *Approaches to Developing an Institutional Conflict of Interest Policy*. Andy was the institutional representative to COGR for Yale, UPenn, and Rutgers Universities. Andy currently is serving on COGR's "Brain Trust" Committee, a select group of senior research administrators advising COGR on issues of national import.

National Council of University Research Administrators • 1015 18th Street NW, Suite 901 • Washington, DC 20036
(503) 364-1847 • peerreview@ncura.edu • <http://www.ncura.edu>

Peer Review by Research Administrators for Research Administrators

Andy was a charter awardee (2002) of the Distinguished Service Award of the National Council of University Research Administrators (NCURA). He was co-chair of NCURA's IV Conference on Electronic Research Administration, served on numerous National Program committees, NCURA's National Executive Committee, and several other standing and *ad hoc* national committees. Andy has been a frequent presenter at COGR and at national and regional meetings of NCURA.

Assisting the Advisor and Reader for Review Report

Peggy S. Lowry

Number of Years in Research Administration: 39

Institutions: University of Illinois at Urbana-Champaign, Oregon State University, Ball State University, Murray State University

Peggy has been a team member or team lead on over 30 peer reviews of research administration offices, received evaluations of her offices, and has taught national workshops on sponsored program assessment. Peggy has led office self-studies and participated in institutional accreditation self-studies. She authored the chapter: "Assessing the Sponsored Research Office" (NCURA/AIS *Sponsored Research Administration—A Guide to Effective Strategies and Recommended Practices*) and published peer review articles: "But the Emperor Has No Clothes On! Or Assessing Your Operation with Fresh Eyes" and "Learning Your ABCs: Adaptability, Balance, and Culture" (NCURA Magazine). Peggy currently serves as the Manager for the NCURA Peer Review Program as well as serving as a Peer Reviewer.

Peggy served until her retirement in 2007 as Director of Sponsored Programs and Research Compliance at Oregon State University where she oversaw sponsored programs (\$250+ million in awards), non-financial research compliance areas, and served as Conflict of Interest Officer. She returned from retirement to assist by leading the University's new Office of Research Integrity, until 2011 when she retired again. She currently serves as Manager for the NCURA Peer Review Program. Her career includes 11 years at Oregon State; 22 years at the University of Illinois--Urbana-Champaign as Assistant Vice Chancellor for Research/Director, with 10 years as a College-level administrator; and seven years in predominantly undergraduate universities: Ball State University and Murray State University in Director and Associate Director positions. At all of her universities she has worked extensively with faculty, Deans, and senior leadership. She served on numerous university/faculty committees, created/implemented university-wide policies, and engaged in department-central research administrator networking groups. At Ball State and Murray State she additionally focused on faculty development, institutional incentives for research, and integrating research with undergraduate education. While at Murray State University, she created a faculty Research Policy Committee to help promote the role of research at a predominantly undergraduate university; increased emphasis on research led to doubling the sponsored programs award level.

Peggy has given over 300 national, regional and local presentations and workshops. She has served on numerous national NCURA committees and twice served on their Board of Directors. During her career she served as a NCURA national workshop faculty for Fundamentals of Research Administration and Sponsored Projects Administration Level II, Chair of the Nominating and Leadership Committee, a member of the Editorial Review Board for *A Guide to Managing Federal Grants for Colleges and Universities*, and co-Chair of the NCURA newsletter. Peggy received NCURA's national Award for Distinguished Service in Research Administration in 2006 and the Award for Outstanding Achievement in Research Administration in 2011. She additionally served several terms on the Board of Directors of the International Society of Research Administrators and received several national awards from that organization. She has been a member of the Council on Governmental Relations.

Appendix C: Charge Letter



Office of
Research

TO: NCURA's Peer Advisors Andrew Rudczynski and Peggy Lowry

FROM: Dr. Christopher Keane
Vice President for Research
Professor of Physics 

DATE: October 24, 2016

SUBJECT: NCURA Peer Advisory Service Charge

Washington State University (WSU) requests that the National Council of University Research Administrators (NCURA) and their Peer Review Services conduct an administrative review of the WSU animal care and use program. The review should include an evaluation of the infrastructure supporting the animal use compliance program. In addition, the review should also include the organizational structure and institutional commitment as well as the applicable policies, procedures and systems in place to insure regulatory compliance.

This administrative review is being conducted in conjunction with a technical assessment of the program that was recently completed by a team of external professionals. The purpose of the assessment and review are to identify challenges or barriers inhibiting compliant research and to recommend best practices for continuous improvement of the animal use program. The results will then be used to develop management plans to implement best practices.

The Office of Research Assurances (ORA) is coordinating this review and will provide NCURA the administrative support necessary to accomplish this request. Please contact Mike Kluzik, Director of ORA for assistance, information or any questions you may have. Mike can be reached at mkluzik@wsu.edu or 335-9553.

Thank you for your time and consideration.

Appendix D: Site Visit Itinerary

Thursday, October 27, 2016		
8:00 - 9:00 AM	Vice President for Research Christopher Keane	*Attending via polycom from Spokane **Attending via telephone from Tri-Cities ***Attending via polycom from Vancouver
9:00 - 9:15 AM	ES	
9:15 - 10:00 AM	Research Administrator Lead (IACUC Chair) Phyllis Erdman (College of Education)	
10:00 - 10:45 AM	Research Administrators (IACUC Members) Phyllis Erdman (College of Education) Phyllis Adams (Community Member) Tom Besser (Vet Micro/Path) Murali Chandras (Integrative Physiology & Neuroscience) William Dornell (Vet Med) Min Du (Animal Sciences) Stephen Greene (Vet. Clinical Science)s Molly Hallock (Community Member) Merle Heineke (Spokane) Sue Jacobson (Integrative Physiology & Neuroscience) Mike Kluzik (Office of Research Assurances) Michael Morgan (Psychology, WSU-Vancouver) Jon Oatley (Molecular Biosciences) Matt Stichter (Politics, Philosophy & Public Affairs) Massaro Ueti (Vet Micro/Path) Nina Woodford (Office of the Campus Veterinarian) James Pru (Animal Sciences) Margaret Highland (WA Animal Disease Diagnostic Laboratory) Steven Russell (Office of the Campus Veterinarian) Gwen Anderson (Office of the Campus Veterinarian) Galen Gorence (Molecular Biosciences) Rani Muthukrishnan (Office of Research Assurances)	
10:45 - 11:00 AM	ES	
11:00 - 11:15 AM	Research Administrator Lead (ORA Director) Mike Kluzik	
11:15 AM - 12:00 PM	Research Administrators (ORA Staff) Rani Muthukrishnan (IACUC Coordinator) Levi O'Loughlin (Biosafety Officer) Ryan Schwager (Industrial Hygienist, Hazardous Materials Shipping) Kerri Kukyendal (Post Approval Review) – works for OCV but is not able to attend the meeting on Friday	
12:00 - 1:00 PM	ES (Lunch)	
1:00 - 1:45 PM	Deans and ADRs Daryll Dewald (Dean, College of Arts and Sciences) Ron Mittelhammer (Dean, College of Agriculture, Human, and Natural Resource Sciences) Bryan Slinker (Dean, College of Veterinary Medicine) Robert Mealey (Associate Dean for Research, College of Veterinary Medicine)	AMS: The dial up number for all sites is 4804042. Location for Spokane attendees: SAC 515
1:45 - 2:00 PM	ES	
2:00 - 2:45 PM	Faculty (First Session) Salah-Uddin Ahmed (Pharm. Sci.)* Chris Davis (Biomedical Sciences)* Weimin Li (Biomedical Sciences)* Eva Szentirmai (Biomedical Sciences)* Jim Cooper (Biological Science)s** Christine Portfors (Biological Science)s*** Michael Skinner (Biological Science)s Eric Nilsson (Biological Science)s Jim Krueger (Integrative Physiology & Neuroscience) Linda Hamburg (Vet Med)?	AMS: The dial up number for all sites is 5704105 Anyone attending by phone, please call (509) 335-9445. When prompted, enter the meeting ID 04105 Location for Spokane attendees: SNRS 203 Location for Vancouver attendees: VCLIS 208J Tri-Cities attendees will participate by phone
2:45 - 3:00 PM	ES	
3:00 - 3:45 PM	Animal Care Staff and Technicians (1st session) Linda Hamburg (Vet Med)? Maybe in this session instead of the 2:00 session	
3:45 - 4:30 PM	ES	
4:30 - 5:00 PM	Ancillary Dan Nordquist (Associate Vice President, Office of Research Support and Operations)	

Friday, October 28, 2016		
8:00 - 8:45 AM	Research Administrator Lead (Attending Veterinarian) Nina Woodruff	*Attending via collocation from Spokane **Attending via teleconference from Tri-Cities ***Attending via collocation from Vancouver ****Attending via collocation from Pullman
8:45 - 9:30 AM	Research Administrators (Office of the Campus Veterinarian) Betsy E. Farn Steven Russe Lisa Pifer Gwen Anderson	
9:30 - 9:45 AM	ES	
9:45 - 10:30 AM	Animal Facility Managers Marsha Hicks (Spokane)* Fred Lutzka (Vet. Med.) John Swain (Animal Sciences) Gary Turner (Vet Med.) Flora Macquero (Psychology) Jan Lub (Vet. Med. ARU)	AMS: The dial up number for all sites is 5294125 The location for Spokane attendees is: SAC 503 Anyone attending by phone, please call (509) 535-9415. When prompted enter the meeting ID 01125
10:30 - 10:45 AM	ES	
10:45 - 11:30 AM	Animal Care Staff and Technicians (2nd session) Robert Archuleta (Spokane)* Kristin Daniels (Spokane)* Lanny Worden (Spokane)* Emma Karel (Hamm Cross, Vet. Micro/Path) Richard Emwin (Vet Med ARU) Jenena DeWilla (Animal Sciences)	AMS: the same session as above will not be open through the end of this meeting
11:30 AM - 12:00 PM	Auxiliary Sherry Gordon (Attorney General's Office) Adam Nelson (Attorney General's Office)	
12:00 - 1:00 PM	ES (Lunch)	
1:00 - 1:45 PM	Faculty (2nd session) Rocio Gregori (Vet Med)**** Joseph Hardison (Animal Sciences)**** Jae Shan (WSU-Pullman Research & Extension Center)**** Zhengkang Cheng (Pharm Sci)* Mike Gibson (Pharmacy)* Kristan Singletary (Biomedical Sciences)* Zhenjia Wang (Pharm Sci)* Andrew Ivanc (Vet Med) Shobhen Gadgil (Pharmacy)*	AMS: The dial up number for all sites is 5294125 The location for Spokane attendees is: SAC 245 The location for Vancouver attendees is: VMAC 101G Anyone attending by phone, please call (509) 535-9415. When prompted enter the meeting ID 01125
1:45 - 2:00 PM	ES	
2:00 - 2:30 PM	Communications Directors Marta Couray (College of Agriculture, Human and Natural Resource Sciences) Laura Lockard (College of Veterinary Medicine)	
2:30 - 3:00 PM	ES and any follow-up one-on-ones	
3:00 - 5:00 PM	Closing Conference Christy LeRosen	

Appendix E: NCURA Resources



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One cannot underestimate the power of engaging with other research administrators to create new and innovative solutions to the challenges they face at their institutions. NCURA gives its members the opportunity to harness that power. NCURA membership is an essential resource at every point in your research administration career.

ARE YOU TAKING FULL ADVANTAGE OF YOUR NCURA MEMBERSHIP?

Your membership benefits include:

- ✓ Access to our **professional networking site Collaborate**. Collaborate is the home to our listservs, communities, discussions, and resource libraries. This is a great place to connect with other research administrators, discuss hot topics, share best practices, and stay ahead of the curve in the administration for research.
- ✓ **Automatic membership** into one of our **eight regions** connects you with other research administrators in your area.
- ✓ **Volunteering** gives you the opportunity to establish a strong network of peers, to acquire new skills and experiences, to help guide the future of NCURA, and to help advance the field of research administration.
- ✓ **NCURA Magazine's e-Xtra** is a compilation of the very latest news and must-read information sent directly to your inbox each Monday.
- ✓ NCURA members who enroll in the **JHU online Master of Science in Research Administration Program** will receive a 10% discount.
- ✓ **Exclusive member pricing** for all NCURA meetings, conferences, education, and bookstore purchases.
- ✓ **Free postings to NCURA's Career Center** (a savings of \$300 per posting) as well as access to all current job listings.
- ✓ Access to NCURA's **Member Directory**.
- ✓ Access to **community discussions, resource libraries, blog postings, and Volunteer Central** on Collaborate.
- ✓ Access to both current and past issues of the **NCURA Magazine**, published six times a year.
- ✓ **Members-only access** to educational videos from meetings and conferences including full session videos.



“Collaborate is my “GO TO” tool... when I have a question and I need an answer fast, I can count on my Collaborate peers to give me the answers quickly and offer additional feedback as well.”

Erica Gambrell,
Coordinator of Research Services,
The University of Alabama

YouTube TUESDAY

NCURA produces 2-3 minute videos on diverse research administration topics and posts them on our YouTube channel each Tuesday. Institutions are welcome to use these videos in their on-campus training programs. With over 1,100 subscribers and over 330,000 views on the channel since its July 2011 inception, this is a resource we encourage you to check out! Find us at <http://www.youtube.com/user/ncura1959>

Not a member yet?
Join today at
www.ncura.edu/

NCURA GLOBAL

NCURA Global seeks to be the foremost provider of professional development, knowledge, and leadership in the global research administration and research management community. We serve all NCURA members in the International Region and all U.S. members who are involved in global research administration. In addition, NCURA Global advances the overall NCURA mission by promoting research administration as a profession on a worldwide basis. We do this by providing a global network of support and collaboration for our members, offering professional development through top-notch research administrators and managers, and partnering with sister organizations to build the requisite infrastructure for the global research enterprise.

WHO ARE RESEARCH ADMINISTRATORS AND WHAT IS NCURA?

The research administrator works with dedicated and brilliant researchers and scholars who often are on the cutting edge of their field and with the government and private sponsors that require stewardship for the funding they provide. NCURA is the professional home to 7,000+ research administrators, and we foster innovative and collaborative education and networking as we support research...together.

GROW YOUR NETWORK

Find the colleague that you need by searching in our online Member Directory by area of expertise and responsibility. Make sure that you have updated your profile so that your colleagues can find you too!





MEETINGS

 CONFERENCES

NCURA's 3 national conferences range from the specialized areas of Pre-Award and Post-Award Administration to the Annual Meeting with offerings spanning the breadth of the profession.

NCURA HOSTS 3 NATIONAL MEETINGS A YEAR

Annual Meeting of the Membership

The annual meeting of the membership is held in August each year in Washington, DC. Over 2,000 of our 7,000+ members attend.

We begin with a full day of workshops and senior level seminars which are a supplemental training program open to all registrants of the annual meeting. This in-depth, targeted training and professional development includes offerings from those new to the profession to our most senior level members.

We then embark on two and a half days of presentations, discussions, open forums and networking opportunities spanning all areas of research administration including, but not limited to, Pre-Award, Post-Award, Compliance, Departmental, Intellectual Property, Contracts, International, Predominantly Undergraduate Institutions, Electronic Research Administration, and Medical Center/Hospital Issues. Attending the annual meeting gives our members the opportunity to participate in sessions over a full range of topics to support their need for information in a variety of areas.

This annual reunion of the membership also includes our Sunday dinner, Tuesday evening event, dinner groups, regional networking events and numerous volunteer activities that create the opportunities for you to meet and connect with your colleagues and create your peer network.

In addition to the education and networking opportunities the annual meeting of the membership provides, our sponsor and exhibitor partners will be available to share information on the products and services to support you and your institution.



“NCURA keeps you one step ahead of the curve.”

Tom Wilson
Assistant Vice President/
Senior Research Administrator,
Rush University Medical Center (Emeritus)

Financial Research Administration (FRA)

The community of those engaged in the financial administration for research was brought together in 2000 for a special topic conference on post-award issues. This community has come together each year since for their own conference which has grown from 300 participants in the year 2000 to over 1,000 in 2016.

This conference travels to a new location each year and is held between February and late March. NCURA members enjoy a discounted registration fee, and the conference is open to all members of the research administration community.

Pre-Award Research Administration (PRA)

In 2006, the NCURA Board of Directors unanimously agreed to offer a Pre-Award Research Administration (PRA) Conference.

The vision for this conference is to create an annual PRA Conference complementing the existing FRA (Financial Research Administration) annual conference.

This conference of over 600 participants travels to a new location each year and is held back-to-back with the FRA conference noted above. NCURA members enjoy a discounted registration fee, and the conference is open to all members of the research administration community.

NCURA MEETING DATES

Annual Meeting

58th Annual Meeting:
August 7 – 10, 2016 ~ Washington, DC

59th Annual Meeting:
August 6 – 9, 2017 ~ Washington, DC

60th Annual Meeting:
August 5 – 8, 2018 ~ Washington, DC

PRA

March 8 – 10, 2017 ~ San Diego, CA

FRA

March 11 – 13, 2017 ~ San Diego, CA



TRAVELING WORKSHOPS

NCURA offers 6 different workshops that are 2 or 2 ½ days and travel around the country throughout the year. And, with a commitment of 60 participants, NCURA can bring one of these 6 workshops to your campus!

LEVEL I: Fundamentals of Sponsored Project Administration

Individuals involved in sponsored projects administration are faced with a multitude of challenges: becoming knowledgeable about federal regulations and individual agency requirements, providing assistance to faculty, gathering information, administration of awards, and many other tasks. The purpose of this program is to provide participants (this program is intended primarily for the newcomer – less than 2 years experience) with a broad overview of the various aspects of sponsored projects administration, including preparation and review of proposals, negotiation and acceptance of awards, financial and administrative management, closeout and audit, as well as the relevant compliance issues.

LEVEL II: Sponsored Project Administration: Critical Issues in Research Administration (SPA II)

For more experienced research administrators, NCURA created Sponsored Project Administration: Level Two, Critical Issues in Research Administration (commonly referred to as “SPA II”). This program offers participants an opportunity for in-depth instruction in four core aspects of research administration: institutional compliance responsibilities, proposal creation and submission, contract and subaward review, and post award financial administration. Each of these topics will be explored through a combination of case study analysis and discussion.

Financial Research Administration Workshop (FRA)

The Financial Research Administration Workshop focuses primarily on the financial aspects of research administration. This workshop provides an in-depth look at financial compliance issues through a combination of lecture, case studies, review of Federal audit reports, and a discussion of best practices. The workshop presents the financial issues of sponsored programs management using a cradle-to-grave award lifecycle approach, and discusses the impact of the financial issues at each stage of award management.



“I greatly enjoyed the dynamic employed by the presenters, who were all clearly collegial and comfortable with each other’s differing styles. The depth and breadth of their knowledge and passion for the subject matter was clear, yet they were still accessible and entertaining.”

Michael Gouin-Hart
Grant Developer, Spectrum Health Hospitals

Departmental Research Administration Workshop (DRA)

Administrators who work at the department and college level have unique challenges. Like central offices, we must have the knowledge of pre- and post-award functions. What distinguishes the departmental research administrator from other research support functions is being intimately involved with all facets of the administration process, daily interaction with faculty, as well as other departmental-specific responsibilities.

This program examines the foundations of research administration in the context of departmental administration – the transactional level. The program will concentrate on applying best practices to a department administrator’s day-to-day activities.

NEW NCURA Workshops: Global Edition

NCURA currently offers the following workshops globally:

- ✓ Level I: Fundamentals of Sponsored Project Administration
- ✓ Level II: Sponsored Project Administration, Critical Issues in Research Administration (SPA II)
- ✓ Financial Research Administration

For information on how you can bring this workshop to your country, please send your request to NCURAglobal@ncura.edu

Export Controls Workshop

This NCURA workshop will introduce the primary U.S. export control regulations and explain how they apply to an academic environment. With this understanding, helpful tools and exercises will be introduced which will show participants how to identify export controls risk at their institutions and then how to establish an effective program to manage this risk.

Research Administration: The Practical Side of Leadership Workshop

For many involved in sponsored programs administration, moving into a management position is a goal. While a wealth of information is available on leadership, this workshop is focused on the practical aspects of leadership in the research administration profession. The workshop will be valuable for managing your career path to reach your goal, for enhancing your existing leadership skills, or for building strengths as a senior research administrator.

This workshop will broadly concentrate on the following areas as they relate to research administration.

- ✓ leadership and management
- ✓ education and communication
- ✓ goal and priority setting

UPCOMING WORKSHOP DATES

Registration now open!

May 16-18, 2016 ~ Washington, DC

Host Hotel: Georgetown University Hotel and Conference Center

- ~ Level I: Fundamentals of Sponsored Project Administration Workshop

June 27-29, 2016 ~ Chicago, IL

Host Hotel: The Drake Hotel

- ~ Level I: Fundamentals of Sponsored Project Administration Workshop
- ~ Departmental Research Administration Workshop
- ~ Financial Research Administration Workshop
- ~ Export Controls Workshop



ONLINE EDUCATION

Find out more at
ncura.edu/education

NCURA 8 Week Online Tutorials - Learn at Your Own Pace!

These primers are intended for those new to each area or who have had very limited exposure.

Primer on Clinical Trials

The course will focus on key administrative, financial, and regulatory issues that arise in planning, funding, conducting, and closing-out clinical trials.

Primer on Federal Contracting

Since Federal contracts are very different from federal grants, we have developed a thorough overview of this complex process.

Primer on Subawards

This online tutorial is focused on subcontracting programmatic effort under federal grants and other financial assistance awards. "Subcontracting" and "third party agreements" cover a wide variety of activities. The course has been divided into a series of lessons that deal with aspects of the subaward crucial to the Research Administrator.

Primer on Intellectual Property in Research Agreements

This online introductory course is designed for university personnel working in contracts and grants, sponsored research and technology transfer offices. Its goal is to provide a basic background in issues of intellectual property management and practice in analyzing and drafting research and licensing agreements.



“NCURA provides what I have found invaluable in becoming the person and professional that I am today.”

Judy Fredenberg,
Director, Research and Sponsored Programs,
University of Montana

Webinars

Check out NCURA’s outstanding Video Webinars!

- ✓ The Right Metrics: Choosing, Measuring and Evaluating Metrics to Drive Performance Success in Your Office
- ✓ Is it a Gift or a Grant and other Critical Funding Mechanisms Your Staff Should Know
- ✓ Save Your Institution Millions: Mitigating Institutional Risk of Research Misconduct
- ✓ Going Global: What Your Institution Needs to Know about Managing Research Without Borders
- ✓ Crowd Funding: An Enormous Opportunity at Your Fingertips
- ✓ Creating the Cohesive Team Your Office Needs to Thrive

Check out these and more at onlinelearning.ncura.edu

Here’s what people are saying about our webinars:

“The presenters were excellent!”

“Thank you, I learned some important concepts that I had not even considered!”

“I really love the NCURA webinars!”

Life Cycle Series



Research Administration in its many varied facets continuously evolves, and most universities and colleges are challenged to keep up with the increasingly complex, ever-changing environment. Perhaps the most compelling of these challenges is how institutions will create and sustain a

knowledgeable professional workforce – research administrators who not only understand the new rules and regulations, but can also apply this knowledge in a fast paced environment.

NCURA has developed a unique approach to meeting this challenge, offering a new video webinar series, with a twist. The Life Cycle of the Award Series is designed to offer institutions options in providing professional growth opportunities for grant managers and research administration personnel.

Format: The series can be viewed as live video webinars, and/or as a recorded training tool for institutions to build customizable training programs for grant managers at all levels.

This new companion Workbook will include multiple examples of forms, policies, case studies, and recommendations for using other NCURA resources available to the membership.

Life Cycle Series

- ✓ The Toolbox for Research Administrators
- ✓ Proposal Development – 3 Part Series
- ✓ Pre-Award / Budgeting – 3 Part Series
- ✓ Award Negotiation and Acceptance – 3 Part Series
- ✓ Award Monitoring/Award Management
- ✓ Compliance

Available at onlinelearning.ncura.edu



PUBLICATIONS

PROGRAMS

Find out more on
www.ncura.edu

Publications

Need to expand your knowledge but have a limited training budget? Visit the NCURA Store for more information on these affordable resources!

- ✓ A Primer on Clinical Trials for the Research Administrator, Second Edition
- ✓ Cost Sharing: An Overview, Second Edition **NEW**
- ✓ Cost Accounting Standards
- ✓ Compensation – Personal Services: Managing and Reporting Effort **NEW**
- ✓ Facilities and Administrative Costs in Higher Education, Second Edition **NEW**
- ✓ Establishing and Managing an Office of Sponsored Programs at Non-Research Intensive Colleges and Universities, Third Edition
- ✓ A Primer on Intellectual Property, Second Edition **NEW**
- ✓ The Role of Research Administration, Third Edition
- ✓ Writing and Negotiating Subawards Under Federal Prime Awards, Second Edition
- ✓ Circular A-21 Mini-Guide
- ✓ Circular A-110 Mini-Guide
- ✓ Circular A-133 Mini-Guide
- ✓ OMB Uniform Guidance Desk Reference **NEW**
- ✓ Regulation and Compliance: *A Compendium of Regulations and Certifications Applicable to Sponsored Programs*
- ✓ Sponsored Research Administration: *A Guide to Effective Strategies and Recommended Practices*

**Research Management Review (RMR)–
NCURA’s Online Scholarly Journal**

As the online scholarly journal for the National Council of University Research Administrators, the RMR is concerned with the broad range of issues affecting the administration of research and the changing research environment at the national and international levels. The RMR provides a forum for the dissemination of knowledge about the study and practice of the research administration profession.



“NCURA is the best organization for developing those relationships that are going to get you through a career in research administration.”

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

NCURA Magazine

NCURA’s magazine is published six times a year with cutting edge pieces on management, perspectives on federal policy written by members and non-members, and the latest information and explanations on topics of interest to research administrators. NCURA Magazine’s Monday’s e-Xtra, a supplement to the Magazine, provides timely and important information for NCURA members in an easy to read, brief format sent directly to your inbox each week.

Fellowship Program

The Fellowship program has two underlying objectives: (i) the training of research administrators, and (ii) enhancing U.S. and foreign research collaboration. This program is intended to reduce barriers to international research administration and create an administrative environment conducive to international collaboration.

The program will provide an opportunity for U.S. research administrators to travel to research organizations abroad and immerse themselves in a program of mutual learning and knowledge exchange.

Peer Review Program

Are you looking to enhance your sponsored programs operation or to engage leadership in a discussion about research administration? In a confidential process similar to an academic program review, NCURA matches a team of senior research administrators to your institution. The review uses National Standards that represent the core and vital functions of sponsored programs regardless of size and type of institution. After reviewing background materials you provide, the Reviewers conduct 360-degree interviews with institutional stakeholders during a site visit. At the completion of the review, the institution receives a detailed written report that provides valuable feedback addressing program strengths and areas for improvement. Use the peer review for risk management/ compliance, enhanced faculty service, operational efficiencies, business process improvement, and improved communications.

Peer Advisory Services

Research Administration Planning is geared to institutions that would like assistance in conceptualizing the process for developing new or revised policies, procedures, and management structures, in the context of U.S. based best practices. The focus assists the institution in integrating commitments for extramural funding and conceptualizing and strategizing longer-term plans for establishing a solid foundation for research administration.

Focused Analysis brings to you senior research administrator expertise to analyze a specific research administration function drawn from the National Standards and to provide an analysis based on U.S. best practices.

Directed Education brings the senior research administrator’s expertise to provide targeted education at your institution in an area that is critical to helping you build a solid research administration infrastructure and to manage risk. The directed education is tailored to your specific topic or need.

“NCURA’s was the most detailed and thorough external review we have received. It was objective, incisive, and provided recommendations the university will act on to improve our research administration.”

Vice President for Research, Research University

Coming Soon: On-demand downloadable publications