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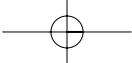
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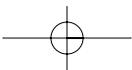
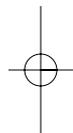
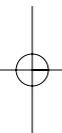
The
Journal
of
**Research
Administration**

Society of Research Administrators International



Volume XXXIV, Number 2, 2003

In This Issue	1
Contributors	2
Announcements	
2003 Recipient of the Rod Rose Award for Best Paper of the Year	3
Features	
Case Study	
Strategic Planning for Research Administration	4
By <i>Carl N. Drummond</i>	
Commentary	
Federal Oversight of Visas and Research Topics: Making Sacrifices for Security	11
By <i>Daniel T. Riggle</i>	
Commentary	
The Belmont Ethos: The Meaning of the Belmont Principles for Human Subject Protections	19
By <i>Edward F. Gabriele</i>	
Information for Contributors	25



In This Issue

The three articles in this second issue of vol. 34 explore a range of topics. In the first, a case study from Indiana University-Purdue University at Fort Wayne, Carl Drummond demonstrates the positive effects of developing and implementing a strategic plan for research administration and how such a specific, localized strategic plan relates to an overall strategic plan of the organization.

For the second article, we note that this autumn is a difficult time for international students and scholars. The new laws and procedures designed to combat terrorism have made it even harder for them to leave their home countries. Dan Riggle's paper considers balancing the needs of national security with the needs of the research and university communities for the flow of both ideas and people. It includes a discussion of several new anti-terrorist databases, including SEVIS. Difficulties with the processing of visa applications for the US are a widespread concern just now, but this article suggests a role for research administrators, monitoring the scholars' situation and ensuring timely communication to obtain optimal results.

Third, "The Belmont Ethos," an inspiring commentary by Edward Gabriele, director of the new Office of Professional Integrity and Ethics of the Bureau of Medicine and Surgery at the Office of the Navy Surgeon General, revisits the three principles of the Belmont Report and asks the research community not merely to meet the principles of Belmont, but to uphold the spirit of these principles. IRB members are responsible for representing their community's standards, so that as the society matures and its standards change, members recognize and apply more broadly the ethics of their culture.

In this issue we also reintroduce the updated article "Information for Contributors," which describes how to submit an article for publication in the Journal. We encourage all who have an idea on a topic of potential interest to submit your manuscript for publication. This item should answer your questions and enable you to become a published author.

With appreciation, we say "Farewell!" to some of our reviewers. This journal is the product of a great deal of effort by volunteers whose work is not always visible in the publication. Several of those volunteers are ending their terms of service this October at the annual meeting.

At this time, I want to express my appreciation to departing members of the editorial review board for their service to the journal, to SRA, and to the profession. The terms of two specialist representatives are ending early due to retirement. Richard Straight, director/acting ACOS of research and development for VA Salt Lake City Healthcare System retired this summer. Mary Ellen Colvin, grants management specialist with NICHD at NIH will retire early next year.

The terms of Kathleen Hogue Gonzalez, associate director of research administration for Children's Hospital Oakland Research Institute and representative for the western section of SRA, and Mary Watson, director of grants and contracts for Valdosta State University, representative for the southern section, are ending after two years on the Editorial Review Board. Without their dedication and hard work the journal would be a much poorer product, if it existed at all. SRA members owe them a debt of gratitude for their service.

Persons interested in representing a section for SRA on the editorial review board should contact the Communications Co-chairs, Marianne Ward and Jim Hanlon.

One final item for our readers is to announce that the executive board of SRA has decided that with this issue the journal will begin being published and distributed electronically. As we submit this issue for publication, the final details concerning further implementation of the conversion have not been determined. When they have been, SRA will inform its members and subscribers to the journal.



Peggy Harrel, PhD
Editor

Contributors



Dr. Edward Gabriele serves as the Professional Integrity and Ethics Special Consultant to the Navy Surgeon General and the charter Director, Office of Professional Integrity and Ethics, Bureau of Medicine and Surgery, Washington, DC. In this role he is responsible for assisting Naval Medicine activities throughout the world with the coordination, integration, development, and promotion of policies, services, and educational programs relative to academic and applied healthcare ethics, research integrity, organizational ethics, and core values formation. Among these activities he is the Director of the Naval Medicine Human Research Protections Program. Dr. Gabriele holds an appointment as Adjunct Assistant Professor in the Department of Preventive Medicine and Biometrics at the Uniformed Services University in Bethesda, MD providing consultations in research ethics. Dr. Gabriele holds a bachelor of science degree in communications secondary education and a bachelor of arts degree in religious studies both from Villanova University, a master's degree in theology from The Catholic Theological Union in Chicago, and a doctorate in theology from The Catholic University of America in Washington DC. Dr. Gabriele is a member of the SRA Distinguished Faculty and the Chair of the SRA Symposium for contributed papers and poster-abstract presentations. In 2001, he received the SRA Award for Excellence. Both in 2001 and in 2002, he received consecutive year Society Awards for Best Concurrent Session for his educational lectures at the Society's annual meetings. In addition, Dr. Gabriele is a member of the Leadership Council of the Responsible Conduct of Research Education Consortium. For the Consortium and for SRA International, Dr. Gabriele chairs the SRA Responsible Conduct of Research Special Interest Group.



Carl N. Drummond, PhD, is Associate Vice Chancellor for Research and External support and Professor of Geology at Indiana University-Purdue University Fort Wayne. Currently in his fourth year of service in the Office of Academic Affairs, Drummond spearheaded the development of the IPFW Office of Research and External Support. Maintaining an active research program in the field of quantitative stratigraphy, and serving as editor of the National Association of Geoscience Teachers' Journal of Geoscience Education occupies what little time he has not dedicated to research administration. Drummond earned a BS in Geology at James Madison University, and MS and PhD degrees from the University of Michigan.



Dan Riggle began working for the Grants Resource Center (GRC), American Association of State Colleges and Universities (AASCU), as a research assistant in July of 1992, was promoted to program associate in September of 1992, senior program associate, in 1997, and program manager in 2002. Primary responsibilities during this period included providing coverage of federal science funding agencies, the National Science Foundation, U.S. Department of Agriculture, Environmental Protection Agency, the National Academy of Sciences/National Research Council, and at times, the National Aeronautics and Space Administration, Department of Defense, and Department of Energy. He served for nearly five of years as editor of the GRC Bulletin, GRC NIH/NSF Bulletin, and GrantWeek publications, until 2001. At present, as GRC program manager, Dan supervises program staff, coordinates training and professional development activities, and manages team-related activities, in addition to continuing to serve schools in the Western Region and monitor science agencies with two other staff members.

Announcing the 2003 Recipient of the Rod Rose Award For Best Paper of the Year



Pam Krauser
*Director of Electronic
Research Administration
The University of
Notre Dame*

For 34 years, The Journal of Research Administration, whose goal is to expand the knowledge and tools of research administration, has given research administrators a means to exchange ideas and provided a vehicle for new voices in the profession. Rod Rose was the first part time director of SRA and, as chair of the publications committee, produced the first edition of the Journal, then named the Journal of the Society of Research Administrators, in July 1969. To recognize the authors of articles and draw greater attention to the Journal, the SRA board established a cash award program in 1973 to honor the best paper published in the Journal each year.

The article chosen for the Rod Rose Award for best paper this year is "The Research Administrator as Servant-Leader," by Pam Krauser, director of Electronic Research

Administration at the University of Notre Dame. Ms. Krauser developed the paper as a result of her interest in organizational behavior and originally presented it as a contributed paper at the 2002 SRA International annual meeting in Orlando, Florida. The winning paper was published in volume 34, issue 1 of The Journal of Research Administration.

Ms. Krauser's current responsibilities include management of sponsored electronic systems, in addition to proposal review and submission. Her previous experience in research administration also includes non-financial post-award work. Ms. Krauser received her MBA from the University of Notre Dame. She is chair of the education committee for SRA and has given numerous presentations for both SRA and NCURA.

Case Study

Strategic Planning for Research Administration

Carl N. Drummond, Ph.D.
Indiana University-Purdue University Fort Wayne

Abstract

Developing and implementing a strategic planning process is a critical component of successful research administration. In order to have legitimacy, the process must meet three conditions. First, the strategic plan of the Office of Research Administration must align with the University strategic plan. Second, the plan must clearly articulate the key goals of research administration and describe strategies for attaining those goals. Third, progress in meeting goals must be assessed and the results of that assessment linked to budgeting. This paper outlines strategic planning for research administration and provides examples from the strategic planning process used by the Office of Research and External Support.

Introduction

Research administration is an academic support function that facilitates research activity through the administration of grant applications for internal and external resources. As such, the mission of the responsible unit must closely align with the strategic plan of the university. By linking the activities of the Office of Research Administration with the larger mission of the university, research administrators can successfully negotiate for a larger fraction of university resources. Likewise, by explicitly distinguishing the relative importance of funded research, the

university can more successfully recognize and celebrate faculty accomplishments.

Successful strategic planning centers on establishing realistic goals and developing workable strategies for attaining those goals. By focusing on its core competencies and central mission, the unit can readily establish a short list of major goals. Creating a limited list of strategies for each goal then sets work priorities for the unit.

Assessing success at attaining goals is essential not only for annual evaluation but also for reforming and evolving the strategic plan. By

Author's Note: This manuscript was developed from a workshop given at the SRA section meeting, April 2003, in Memphis, Tennessee. I greatly appreciate the creative dialog that developed among the workshop participants; their insights were helpful in advancing my ideas of strategic planning. I am also indebted to my workshop co-leader Patricia Farrell, Director of Research Support Services at IPFW. The manuscript was greatly improved by her thoughtful comments. Contact: Carl N. Drummond, Associate Vice Chancellor for Research, Indiana University-Purdue University Fort Wayne, Fort Wayne, IN 46805-1499. Ph: (260) 481-5750. Email: drummond@ipfw.edu.

fostering a process of continual assessment and planning, the university can create a culture of strategic thinking and strategic management within the office of research administration. Such a cultural change is of great benefit in the face of increasing competition for internal and external resources.

Creating a Strategic Plan for Research Administration

A vast literature on the process and pitfalls of strategic planning exists (e.g., Besanko, Dranove, & Shanley, 2003; Bryson & Alston, 1995; Dudik, 2000; Fogg, 1994; Kaplan & Norton, 1996, 2000; Kotter, 1996; Napier, Sanaghan, Sidle, & Saraghan, 1997; Wootton & Horne, 2002), and any basic reference can prove helpful when undertaking strategic planning for research administration. In the fall of 2000, Purdue University undertook a comprehensive, system-wide, strategic planning initiative. As part of that process, Indiana University-Purdue University Fort Wayne (IPFW) developed a campus-wide strategic plan that the Trustees of Purdue University approved in November of 2001 (IPFW, 2003a). A significant outcome of the plan was the creation of the Office of Research and External Support (ORES). Previously, research support services had been a somewhat neglected function of the Office of Academic Affairs. Creation of a new research administration organization demanded undertaking a comprehensive strategic planning effort. A completed plan would then serve as an operational foundation for this newly created unit, as well as a guide for future growth of the organization. Presented below is an outline of the strategic planning process ORES used to create a strategic plan closely paralleling the IPFW strategic plan. Throughout the discussion, examples are presented from the ORES plan. While the sequence of steps presented below worked at IPFW, alternative processes might be equally successful. Success is determined by how open the planning process is and how extensively the completed plan links to performance review and budget planning.

Step One – Foundations.

One of the keys to successful strategic planning is establishing a solid foundation for the process (e.g., Napier et al., 1997; Wootton & Horne, 2002). This initial step consists of several related tasks, the first of which is creating an organizational profile. Developing a clear understanding of how the process of research administration is organized, who has responsibility for specific tasks, as well as the relationships between the organization, its faculty clients, and its administrative supervisors combine to establish a complete snapshot of the current organization. From this information, the reasons for undertaking strategic planning are addressed by summarizing specific issues or challenges as well as identifying the data required to guide the planning process. Finally, the university must create a strategic planning committee, the membership of which reflects the variety of stakeholders associated with research administration. Each member of the committee must accept a very clear role in the process as well as a specific set of duties to accomplish. By completing these three initial tasks, the planning process can move forward with a minimum of organizational problems.

Step Two – Articulating mission, vision, and values.

Strategic planning documents generally consist of two parts: (a) framing statements that define the organization and its operation and (b) the set of goals and assessment techniques that constitute the action items of the plan (e.g., Dudik, 2000; Fogg, 1994). Developing the framing statements is often one of the most difficult and time-consuming aspects of strategic planning. These statements are, however, the most publicly visible components of the plan, and one must take great care in their crafting, especially considering the confusion that can develop concerning the terminology of strategic planning. The first of the framing statements is the mission. A mission statement also generally comprises two parts: (a) a purpose, defining why the organization exists and what it seeks to accomplish, and (b) the function, describing the main process through which the Office of

Figure 1. ORES Mission Statement

The Purpose: The Office of Research and External Support (ORES) is a unit within the Office of Academic Affairs (OAA) created to serve the scholarly and creative activities of faculty, students, and staff.

The Function: Our mission is to facilitate the procurement of external support through research grants, contracts, and technical assistance agreements, to administer internal support for research, and to document and publicize the scholarly achievements of members of the IPFW community.

Figure 2. Vision

The ORES will

- Enhance the research productivity of the University.
- Increase external support of research.
- Strengthen the research experiences of undergraduate and graduate students.
- Celebrate the achievements of researchers.

Figure 3. Values

As an academic service unit we are committed to the academic excellence of the University. As such, the ORES values

- A broad definition of research and creative activity that includes the scholarship of discovery, the scholarship of learning, and the scholarship of engagement.
- The pursuit of knowledge in an environment that encourages free and open inquiry, academic achievement, scholarship, and creativity.
- The celebration of academic achievement.
- The importance of research experiences for undergraduate and graduate students.
- The collaborative nature of research.

Research Administration achieves its purpose (Figure 1). Whereas the mission statement summarizes the organization and its activity, the vision presents an image of what organizational success will look like (Figure 2). The process of clearly stating the definition of organizational success in the vision statement facilitates construction of the action items later in the planning process. Finally, the values consist of a set of shared principles that help guide the accomplishment of the mission of the organization (Figure 3). Together, these framing statements define and direct the activities of the organization as well as the development of the remainder of the planning document.

Step Three – Strategic thinking.

Successful strategic planning extends beyond simply writing a planning document. Establishing a culture of strategic thinking is the only way to ensure organizational success in the face of the dynamic landscape of higher education and the intense competition for internal and external resources. The first component of strategic thinking is establishing a baseline of past activity as well as a longitudinal study of organizational performance. Together, these studies provide a complete situational assessment that informs the strategic planning committee about the strengths and weaknesses of the organization. From these data, the committee can highlight critical issues that face the Office of Research Administration and develop plans for how to address those issues. This process is similar to the commonly used SWOT (Strengths, Weaknesses, Opportunities, Threats) approach, but differs in that quantitative data alone provides the basis rather than the more typical quantitative and qualitative mix used in a SWOT analysis. By creating a culture of strategic thinking as part of the planning process, the organization may respond to future changes much more easily.

Step Four – Creating the action items.

The second major component of a strategic planning document is the set of detailed action items associated with defining and measuring

Figure 4.
Strategies**Performance Indicators****Goal 1: Increase external support for research.****1. Administer the grant application process**

Process external grant applications	# of applications processed # of applications funded
Process internal grant applications	# of applications processed # of applications funded
Review faculty satisfaction with services	Survey results

2. Match researchers with opportunities for external support

Make announcements of grant opportunities	# of announcements
Facilitate individual matches between researchers and grant opportunities	# of meetings conducted # of proposals resulting from meetings

3. Provide support for researchers to meet with funding agencies and program directors

Increase communication between researchers and funding agencies	# of meetings conducted # of proposals resulting from meetings
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4. Create target list for high priority funding opportunities/projects.

Create list	# of opportunities/projects identified # of opportunities/projects submitted for external funding
-------------	--

5. Conduct workshops on the grant process and grant writing.

Conduct workshops	# of workshops # of participants # of new proposals from participants
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6. Establish a research fellows program and other forms of intensive support for grant writing.

Establish research fellows program	# of fellows designated # of external applications submitted # of external applications funded \$ value of research fellow grants \$ F&A from research fellow grants
------------------------------------	--

the activities of research administration. The institution may divide these actions into three hierarchical levels: goals (what needs to be done), strategies (how it is to be done), and performance indicators (how to measure completion of action items) (Figure 4). Goals reflect the strategic vision, informed by the values, which aid in the accomplishment of the mission of the organization. Generally, a strategic plan for an administrative sub-unit, such as an office of

research administration, should have between four and seven goals, depending upon the range and complexity of services the organization offers. For each goal, the organization must identify several strategies that define the process by which the unit will meet that goal. Likewise, for each strategy at least one performance indicator must establish the mechanisms to use to measure achieving the goal. Two distinct types of performance indicators are commonly used in

strategic planning documents, metrics and milestones. A plan employs a metric when the descriptor is a quantitative measure defined in terms of number of occurrences, financial value, frequency, or percentage. Conversely, a milestone describes an either/or condition, where no quantitative characteristic is readily definable. Examples include completion of a strategic plan, publication of an annual report, or hiring a new staff member. Either the tasks were completed or they were not.

Step Five – Key indicators.

Creation of action items can result in a large, and perhaps unwieldy, array of goals, strategies, and performance indicators. While these items define and describe the core content of a strategic plan, they are often written at a level of detail beyond that appropriate for general reporting of the activities of the organization. Therefore, one must create a short list of key performance indicators that will serve as the core quantitative description of the activities of the organization (Figure 5). In the case of many academic service units, composing a short list of key indicators is difficult. For research administration, however, the situation is rather straightforward. A typical list might include the number of external grant applications submitted, the percentage of applications successful, or the total value of awards received during the fiscal year. Since these key indicators represent the most important measures of the success of the Office of Research Administration, they become central

Figure 5. Research Change Indicators

The central mission of the ORES is to increase and expand the research productivity of the university. As such, overall performance of the Office will be assessed based upon the following four indicators.

- Total Support for Research (\$)
- Number of External Grant Applications (#)
- Number of Successful External Grants (#)
- Total Amount of Facilities and Administration Revenue (\$)

to all reporting processes. Ultimately the success of the unit will be judged by these measures.

Step Six – Completing the written plan.

Transforming the strategic plan from a draft to a fully functional document is largely a process of vetting. By involving representatives from all classes of stakeholders throughout the creation, one can create a final draft with broad acceptance. During this stage of the process, the components provided by various members of the planning committee must be re-crafted into a document with a single voice. During this amalgamation, care must be taken to avoid several different types of problems that can arise. First, revisions must be agreed upon and completed in a timely manner. Second, the process of creating goals, strategies, and performance indicators often results in a need to reevaluate the broader mission, vision, and values statements. As operational details of the plan are developed, revision of aspects of these framing statements can become contentious, reflecting the variety and individual perspectives and biases of members of the planning committee. Any serious conflict that arises must be fully addressed prior to implementation of the plan. Failure to do so will potentially undermine the validity of the strategic directions chosen.

Step Seven – Implementing the process.

The single greatest fear associated with initiating a strategic planning process is the potential failure of implementation of the plan. In order to maximize the usefulness of the planning process and the resulting strategic plan, four conditions must prevail. First, the creation of the plan must occur through an open and honest exchange of information and opinions. If the process of planning contains flaws, those flaws will rebound with devastating consequence during the implementation of the plan. Second, while the plan must be obvious as the product of the work of a representative committee, leadership must firmly embrace it. Given the variety of organizational structures employed by colleges and universities within which research administration fits, the critical leader can vary from the

chief executive officer (President or Chancellor) to the chief academic officer (Provost, Vice President or Vice Chancellor for Academic Affairs). Any plan that fails to attract the support of leadership is destined to become moribund as subordinates realize that goal setting and performance assessment are not tied to the structure of the plan. Third, strategic management will flow naturally from strategic planning when internal resource allocation is tied to the successful implementation of the plan. Research administrators can leverage additional resources with a well developed strategic plan, while at the same time using the highly structured reporting of performance indicators as justification for the continued allocation of those resources currently committed. Until budget planning aligns with strategic planning, the most well crafted plan will fail. Finally, the plan must be dynamic. The planning committee must continue to discuss the results of performance analysis, modify metrics, and adjust goals and strategies to reflect changing environmental factors. Institutions of higher education are becoming increasingly dynamic in their styles of leadership and organization. Thus implementation of a strategic plan over a two- to four-year duration will require significant modification

of that plan as conditions within and without the university change. By revisiting the plan periodically the institution can sustain and magnify the impact of the document by assuring its continued implementation.

Conclusions

The Office of Research and External Support at IPFW is set to embark on the second year of operations under the strategic plan. During '02-'03 we achieved a major advance in sponsored research activity on campus: total grants and contracts increased 40% compared to the previous year, we created a research fellows program, for the first time we submitted major multidisciplinary grant applications to the National Science Foundation, and we are forming plans to establish a multi-component research support program that will significantly increase the number of graduate students and post-doctoral fellows conducting research on campus. Perhaps IPFW could have made some, or even all, of these changes without a detailed strategic plan, but the long-term sustainability and growth of research at the institution depends strongly upon strategic thinking and strategic management within the ORES.

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Commentary

Federal Oversight of Visas and Research Topics: Making Sacrifices for Security

Daniel T. Riggle
American Association of State Colleges and Universities

Abstract

Legislation passed in response to the September 11, 2001 terrorist attacks on the U.S. led to development and implementation of a number of security measures, designed to regulate the flow of people, ideas, and products into and out of the U.S., especially from or to nations whose inhabitants might include those whom the federal government considers potential threats to national security. These security measures are actually database systems through which the federal government can monitor scholars and students who choose to study in the U.S. and regulate who will have access to conduct federally sponsored research on topics deemed sensitive to national security. These systems have generated mixed reactions from the public. As the new security systems exercise an impact on researchers, research administrators, and institutions, the need for security and the means for ensuring it have come under much scrutiny. Discussions of anti-terrorist measures and their possible effect on the U.S. research and education enterprise are likely to increase as educators, education administrators, researchers, and research administrators weigh issues of national security against restrictions to promote greater security.

Author's Note: This article grew out of a presentation that the author made at San Diego State University, on April 22-23, 2003, on programs offering support to non-U.S. citizen faculty members at U.S. institutions of higher education. Research performed in preparing for that presentation, the Grants Resource Center's coverage of related events, and discussion of the topic with colleagues became the basis for this article. The author thanks his colleague Jeffrey Lagda, Program Advisor for the Grants Resource Center, for his research on federal government databases and their effects on the education and research communities, without which this article could not have been written. Contact: Daniel T. Riggle, Program Manager, Grants Resource Center, American Association of State Colleges and Universities, 1307 New York Avenue, NW, Fifth Floor, Washington, DC 20005-4701. Ph: (202) 478-4710. E-mail: riggled@aascu.org

The Federal Response to September 11, 2001: Increased Security

As the federal government implements multiple systems aimed at elevating national security by monitoring and regulating the flow of ideas and people into and out of the U.S., the question already is not one of whether these measures will negatively affect the U.S. education and research enterprise, especially in science and technology, but rather to what degree they will do so. As various arms of the nation's homeland security apparatus enact and pursue anti-terrorism policies and practices, researchers, administrators, and educators watch to see how these various measures will affect them. Beyond observation, however, many policies entail practices that require individuals and organizations to increase national security as well. As actions are taken to comply with these mandates, individuals have begun to debate governmental controls and their effect on international exchanges of ideas and people. Much of the argument over security appears to hinge on differences of opinion over the basic ideologies of openness versus protectionism. But, because of September 11, 2001, the stakes for choosing to act or not have risen precipitously.

Probably no one doubted the sincerity expressed by John Marburger, director for the Office of Science and Technology Policy (OSTP), when he addressed the American Association for the Advancement of Science's (AAAS's) 28th Annual Colloquium on Science and Technology (S&T) Policy on April 10, 2003, regarding the state of U.S. science research and education in the face of heightened security. Focusing many of his remarks on the Student and Exchange Visitor Information System (SEVIS), implemented by the Immigration and Naturalization Service (INS) on January 1, 2003, Marburger assured the audience that the Bush Administration "values the contribution foreign scientists and students make to the nation's scientific enterprise, to our economy, and to the appreciation of American values throughout the world" (Marburger 1).

According to Marburger, the Bush Administration maintains that "it is possible to take appropriate precautions against terrorism without inhibiting the numerous relationships

with other nations that are essential in today's globalized technical society" (Marburger 1). Marburger's statement implies the inclusion of relationships that develop through research and education activities. Still, frequent reports on SEVIS's implementation indicate potentially harmful effects are only beginning to become evident. Marburger admitted that increased regulation has led to longer waits and potential discouragement, noting that after 9/11, the number of institutions certified to accept foreign students fell from 75,000 (in 2000) to 8,000 (Marburger 3). Clearly, a large decrease in numbers of schools able to accept students and scholars, with even stable numbers of applicants, could contribute to a backlog in processing applicants, since those applicants need to have an institution at which to attend classes or a degree program. Still, Marburger contended that rejection rates for visas have not increased so much as cases submitted for review have skyrocketed, overloading SEVIS and creating applicant backlogs. Another means for monitoring visa applications more closely is "code-named [Visas] MANTIS...established under section 212 of the Immigration and Nationality Act," whose purpose "is to exclude applicants whom a consular official or, since March 1, the Secretary of Homeland Security, has reasonable grounds to believe intends [sic] to violate or evade laws governing the export of goods, technology, or sensitive information" (Marburger 4). According to Marburger, a recommendation for Visas MANTIS review is based on guidelines accompanying the Technology Alert List (TAL), which State Department officials compile and maintain with the input of other federal agencies which also assist in reviewing cases. As of August 2002, TAL categories were clarified, and cases reviewed under Visas MANTIS dramatically increased:

In calendar year 2000, about 1,000 cases were reviewed under [Visas] MANTIS, and 2,500 the following year. In 2002 the figure jumped to 14,000, overloading the system last summer and fall. Today the State Department estimates that at any given time there are about 1,000 visa applications in the [Visas] MANTIS review process (Marburger 4)

Herein lies a major component of backlog to which critics have referred when discussing SEVIS, TAL, and other monitoring systems. To understand the systems designed to monitor the flow of individuals and sensitive information, one should remember the context in which these measures were developed and implemented: the September 11, 2001 tragedy, its effect on the American psyche, and the government's attempts to respond to this event.

One focus of this response was the student visa system, and a primary purpose for the legislative responses was to establish greater control over the flow of people, information, and products into and out of the U.S. The magnitude of this undertaking is reflected in the basic logistics pertaining to visa oversight in the U.S. According to Stuart Patt, a State Department spokesman, "Of the 5.8 million visas granted last year [2002], 16 percent went to students" (Giegerich 1), which is the number that roughly equates to the one million referred to by Marburger during his AAAS speech. Among this nearly one million individuals, according to testimony before the House Science Committee, which cited as a source the Institute of International Education (IIE), there were some "582,996 international students [who] attended colleges and universities in the United States in 2002" (Hearing Charter, House Committee on Science). Another IIE study listed the numbers of international researchers in the U.S. at over 86,000 in 2001/2002, up over 6,000 from 2000/2001 (IIE Open Doors 2002 Report).

The USA Patriot Act (Public Law 107-56 enacted on October 26, 2001) mandated the use of a database to monitor this population. In this way, SEVIS, initially a voluntary system, in July became mandatory and all colleges and universities were required to implement it by January 29, 2003 (Hearing Charter, House Science Committee). The implementation date was changed to February 15, 2003, and currently information on all foreign scholars and students must be maintained and updated in SEVIS by August 1, 2003 (Hearing Charter, House Committee on Science). Testifying before the House Science Committee about the implementation of SEVIS and the backlogs of those awaiting processing, David Ward, president of the American Council on Education

and chancellor emeritus of the University of Wisconsin at Madison, focused on three areas in which the system was failing: technological flaws, lack of real time access to data, and inadequate training for those affected by the implementation (Testimony of David Ward).

One serious technological flaw of SEVIS cited by a number of critics was corruption of data. Sensitive and confidential data was incorrectly associated with a person and reportedly printed. Moreover, entry of large amounts of data was often unsuccessful. The ability for real time access to data never materialized (Testimony of David Ward). Consequently, critical access to data already entered was often not possible, a crucial problem for students and scholars with time-sensitive appointments or definite periods during which to begin and end their activities. As a result of this inaccessibility of data, at consulates and embassies, foreign students have been and continue to be rejected outright for visas.

According to Ward, solutions to such problems will not come easily. He conservatively estimated new records must be entered at a rate of "250,000 per month," or one million overall, for institutions to meet the August 1, 2003, deadline. Ward predicted that the system would not only fail to accommodate the information surge, but foreign students and scholars, college and university administrators, and immigration offices would become overwhelmed, which would lead to extreme difficulties in complying with the August deadline. Finally, according to federal law, a fee was to be charged for international students who register with SEVIS. No process has been established to levy or collect this fee (Testimony of David Ward).

Other monitoring systems have been criticized as well. For instance, all visas are initially evaluated against the principal database known as CLASS (Consular Lookout and Support System), which matches applicant names against lists derived from the Federal Bureau of Investigation's (FBI's) National Criminal Information Base and other intelligence databases. A match on CLASS leads officials to refer that visa application to the State Department for more review. CLASS not only slows the visa application process by introducing another process but CLASS searches have been slowed because additions by the FBI after 9/11 doubled

the number of records to almost 12 million (White and Peterson 1).

Add to these databases the previously mentioned Technology Alert List (TAL), by which the State Department oversees study in major fields of technology transfer (such as chemical and biotechnology engineering and lasers), which have been deemed “sensitive” by the government. The TAL list has grown with the addition of several sub-areas of the biological sciences, community development, environmental planning, geography, urban planning, and housing and landscape architecture (Hearing Charter). If an applicant’s research area of interest and country of origin match on TAL (the State Department also maintains a list of “state sponsors of terrorism” that can affect this process), that person’s visa request must go through the Visas MANTIS system and State Department scrutiny.

Managed by the State Department, Visas MANTIS was designed to “stem proliferation of weapons of mass destruction and missile delivery systems; to restrain the development of destabilizing conventional military capabilities in certain regions of the world; prevent the transfer of arms and sensitive dual-use items to terrorist states; and maintain U.S. advantages in certain militarily critical technologies” (White and Peterson). The Visas MANTIS system and TAL are thought by many observers to have caused most of the significant delays in visa processing, which as of Fall, 2002, were said to have affected nearly 25,000 applicants (Testimony of David Ward).

The following might explain the delays created by implementation of TAL and Visas MANTIS:

Many are concerned that the TAL is too vague and that the consular officers with little or no background in science are misapplying the broad categories. Others believe that the consular officers are using their discretion to err on the side of caution, broadly and subjectively interpreting State Department policies and guidance. Still others have attributed delays in processing visas—and their denial—to a provision in the 1994 Foreign Authorization Act, which established liability for consular officers who

approve visas for applicants who commit an act of terrorism. Anecdotally, the Committee has been informed that applicants can expect to wait three to nine months for their visa. (Hearing Charter, House Science Committee)

Another system for conducting background checks for visas, Visas CONDOR, went into State Department use in January 2002. This program can check an applicant’s name in nearly 20 security databases, and as with Visas MANTIS, applicants undergoing a Visas CONDOR clearance must receive a federal status review and ruling. Some critics of this system claim that Visas CONDOR has focused surveillance almost exclusively on Muslim men between the ages of 16 and 45 or those who originate from approximately 26 predominantly Islamic countries (White and Peterson).

Finally, another means for reviewing visa applicants, called I-PASS (Interagency Panel on Advanced Science and Security), is due for implementation in the near future. I-PASS was created in response to the October 2001 Presidential Decision Directive “Combating Terrorism through Immigration Policies.” The I-PASS panel, composed of representatives from the major U.S. science agencies, including the State Department, Department of Justice, and the Department of Commerce, are supposed to evaluate the applicant’s background, education and training, country of origin, area of study, training or research, and the nature of the work conducted at the college or university as well as the uniqueness of the knowledge, its availability, and the terrorist groups or organizations that wanted to gain access to it. (White and Peterson; Hearing Charter)

Many in academe do not look favorably upon implementation of I-PASS, and in his AAAS presentation Marburger noted that there might be “a potential downside to I-PASS,” in that it could add “even more steps to the process without adding value,” leading to even greater increases in what he called “wait times.” If such delays become part of I-PASS implementation, Marburger stated that it was not the intention of the government to introduce further delays (Marburger 2).

U.S. Academic Community Response to Security Measures

What might be the longer-term consequences of such complications in the processing of visa applications for U.S. exchange programs for students and scholars? How might the security systems affect the choices individuals make in deciding where to pursue their projects and other research or education activities? How might federal restrictions on access to scientific or technological information, or on who might be allowed to receive support to conduct research on "sensitive" topics, affect where foreign scholars choose to study or work? Some observers are very concerned that delays in visa application processing and restrictions on research topics are already driving the best student and scholar candidates away from the U.S. U.S. critics observing this migration crisis claim that it will weaken the research infrastructure of the U.S. and eventually erode long-term national security.

According to Victor Johnson, associate executive director for public policy at NAFSA Association of International Educators, "foreign students [and scholars] bring important and growing educational benefits to American colleges," adding to student body diversity, providing American students with opportunities to connect with foreigners, and filling "perennially under-enrolled science courses that colleges would otherwise find difficult to offer." In fact, "foreign graduate students provide crucial support for teaching and research, particularly in the sciences." Johnson asserts that U.S. "graduate education could not function without foreign students" (Johnson B7).

That U.S. graduate schools would have to close *en masse* without foreign student attendance is uncertain, but recent data suggest that foreign student participation and success in science and engineering studies at U.S. institutions continue to advance at rates greater than those of their U.S. student counterparts. Johnson also emphasizes that "[f]oreign students and scholars, who constitute an exceptional reservoir of good will toward" the U.S., might possibly represent the nation's "most undervalued foreign-policy asset" (Johnson B7). According to Johnson, three basic problems, which "taken together, threaten the capacity of

[the U.S.] to continue to attract foreign students and scholars: inefficient visa screening, a problem-plagued foreign-student monitoring system, and overzealous enforcement" (Johnson B7).

No data yet exist to determine the negative impact of such problems on foreign student enrollment in U.S. degree programs or foreign scholar pursuit of advanced research in the U.S., since such data will not be available until the year following application processing, and trends will not become apparent until some years thereafter. But, according to Johnson, by the time that such trends are in evidence, the "damage" to U.S. foreign student and scholar exchange programs "will be irreparable" (Johnson B7). Although data do not yet reflect negative trends in foreign student or researcher activity at U.S. institutions in response to regulations, anecdotal evidence suggests that such trends have begun to emerge.

Johnson told the story of Ambassador Kenton Keith, chairman of the Alliance for International Educational and Cultural Exchange, who, in testifying before the Senate Foreign Relations Committee in February 2003, stated that "his alma mater, the University of Kansas, told him 'that undergraduate applications for Fall are down 20 percent, and that it finds good students around the world increasingly looking to Great Britain, Australia, Canada, and New Zealand for higher education'" opportunities. This is so, contends Johnson, because "many in the international scholarly community, both faculty and students, view the U.S. as inhospitable to them" (Johnson B7).

Similar anecdotal evidence of students and scholars' visa problems and their subsequent decision to alter academic career plans has emerged from other sources as well. In one incident, according to the *South China Morning Post* (Hong Kong), scores of students from mainland China who were already enrolled as students in U.S. colleges and universities could not return to the U.S. after having gone home to visit China. In particular, the report noted, students in science and technology fields came under greatest scrutiny and were delayed longer than others. Before September 11, 2001, such students would have received a re-entry visa in fewer than three days, but in the post-9/11

political climate, obtaining either an initial visa or re-entry visa can take weeks or months. The report concluded by noting that a substantial number of the nearly 63,000 Chinese nationals already in the U.S. as students chose not to leave the country, either to attend professional conferences or to visit their families back in China, for fear that their return to academic programs here would have to be delayed or abandoned. In fact, such delays in obtaining visas “are causing financial problems and splitting families. One MIT nuclear engineering student has been stranded on the mainland because her re-entry visa was denied, while her husband was permitted to go back” (Cheung 4). Developments in other countries seem to offer similar consequences for U.S. colleges and universities, in that nations with predominantly Muslim populations, such as Malaysia and Saudi Arabia, have apparently begun to advise residents not to study in the U.S. (Arnone 1).

Observations coming from U.S. government sources, such as the Secretary of State’s science and technology adviser, Norman Neuriter, seem to confirm that a genuine trend has developed regarding students’ (and researchers’) choices of whether to study in the U.S. or elsewhere. According to Neuriter, the

best students from abroad are giving up on coming into the United States. They’re going to France. They’re going to Germany. They’re going to Japan. In Asia, they’re going to China, because it’s gotten too difficult to come into this country to work in scientific fields. (Henderson B1)

Similar warnings come from those studying the effects of federal controls over research on what the government deems to be “sensitive” information. Writing in the Summer 2002 edition of *Issues in Science and Technology*, John Hamre stated that, in the post-September 11, 2001, world, “misplaced and poorly conceived security procedures will provide little security and could potentially cripple the nation’s scientific vitality, thereby posing a serious threat” to U.S. national security in the long-term (Hamre 52). As a former deputy secretary at the Department of Defense in the Clinton Administration and as president and CEO of

the Center for Strategic and International Studies in Washington, DC, Hamre used both a federal and private perspective by which to view the “tension” between national security and open scientific inquiry. He noted that the “very nature of the scientific enterprise requires open collaboration. The essence of national security is restricted and controlled access to critical information”; however, he claimed that this tension arises not from an incompatibility between science and security, but from “inside the national security community itself” (Hamre 51). Basically, Hamre contends, scientists need to be better informed about national security concerns and trusted to honor them, where these concerns are relevant to the research that takes place. Since openness is, in fact, necessary for genuine advances in the sciences to occur, then to disrupt an open atmosphere is to undermine inquiry, and perhaps to drive creative minds away from the restrictive environment.

Still, the situation for policymakers, researchers, students, and research administrators is by no means simple. What are unacceptable or acceptable procedures when the stakes for error involve public safety on a scale of September 11, 2001? Most often, those who participate in the research enterprise attempt to conduct their business thoughtfully, idealistically, with no one acting in ways to consciously jeopardize national security. However, as Hamre noted, even while academicians and legislators seek reasoned means by which to advance the ideals of research and education, alongside these concerns the world and its threats grow more complex. “Science has become an increasingly international enterprise,” so that “[s]ince the end of the Cold War, [U.S.] security priorities have shifted from a largely bipolar world to an increasingly complex world with asymmetric threats to U.S. interests” (Hamre 53). In response to such threats the “worst thing [the U.S.] can do” is to “throw a smothering blanket of regulation over the entire [research] enterprise and chase away creative scientists” from U.S. institutions (Hamre 54). Yet, in the post-September 11th political climate, “there are a number of efforts to protect and restrict access to scientific information,” including “efforts to restrict the activities of foreign nationals, limit the information already in the public domain, expand the use of ‘sensitive, unclassified infor-

mation', broaden enforcement of 'deemed exports', and impose new restrictions on fundamental research" (Hamre 55).

Higher education administrators, in general, and sponsored research administrators, in particular, may find themselves increasingly in this international situation which will require them to use their counseling and diplomatic skills as never before and to develop new administrative procedures. Those who deal directly with foreign students or scholars in exchange programs must be prepared to counsel participants that if they return home for a visit or attend a professional activity outside of the U.S., their re-entry into the U.S. might be delayed or denied. Those working with foreign scholars and students will need to have information fully presented to them, as early as possible, about activities involving foreign visitors, such as conference activities, laboratory or other site visits, and travel for planning grant activities in order to prepare

for the possibility that security systems will affect an activity's timeline. Respecting controls on research data topics deemed to be sensitive by the federal government, Sponsored Research Offices (SROs) should get access to updated listings of such topics, in case researchers must obtain specialized clearances to get access to materials or to qualify to apply for funding. Clear, timely communications will become more important than ever in SRO operations, especially when the personnel or research materials involved in a project might be affected by systems designed to protect national security. These communications must span the entire spectrum of those involved in the research and education enterprise including students, researchers, research administrators, and other higher education administrators; governmental agencies tasked to enforce security measures; and legislators whose activities mandate these measures.

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Commentary

The Belmont Ethos: The Meaning of the Belmont Principles for Human Subject Protections

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Abstract

The Belmont Report is central to human research ethics. It is not a policy nor regulatory legislation. It addresses more the *being* of research integrity than its *doing*. The impact of The Belmont Report is in its significance as a living tradition. This paper will reflect on the implications of Belmont's three principles: Respect for Persons, Beneficence, and Justice. These form the fundamental *ethos* underlying human subject protections. These three principles must be interpreted anew in each age and each context so that research is shaped by the preservation of human dignity. In this way research itself is shaped, preserved, and protected as a process leading to truly human and humane progress.

Introduction: Belmont as Ethos

History, whether of individuals or cultures, is a never ending process of milestones and

markers each building upon or veering away from the experience of each other. Sometimes, these markers and milestones stand out and seem to capture the very essence of a person's life or the soul of a culture. Americans look to the signing of the Declaration of Independence and

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the Emancipation Proclamation as two exemplary events that have marked the conscience of a nation struggling to evolve from a noble experiment to become an experience. In this light, there are any number of historical markers that vividly bring into high relief the profound significance of human subject protections in the evolving history of research. One of the most significant is The Belmont Report of 1979.

On 12 July 1974, the National Research Act was signed into law and established the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research. Among other charges, the Commission was directed to identify and articulate the ethical principles that must form the basis of all human subjects protections in research. Over a four year interval, the Commission convened physicians, behavioral and biomedical researchers, academic theologians, ethicists, philosophers, and lawyers to discuss from a wide variety of perspectives the common bases from which could be articulated the fundamental ethical principles for protecting human participants in any form of research. In April 1979, the Commission issued The Belmont Report and in it identified its three principles that are the foundations for the protection of human research subjects: respect for persons and their autonomy, beneficence, and justice.

Memory and perspective are curious human phenomena. The work of the Commission and its principles are often unfortunately discussed in popular experience from a particular bias favoring *law* or *regulations*. However, the work of the Commission was clear that the principles of respect, beneficence and justice are not *ethical codes* as one might find in other documents. They are not black and white regulations or easy minimalist standards. Rather, these principles and the Report itself are an analytical framework or *paradigm* better understood by the origin of the word ethics itself.

The term ethics comes from the Greek *ethos*. Ethics are sets of regulations or standards against which behaviors can be measured. *Ethos* is the fundamental character of a person, an institution, a society, or a culture. In the ideal, ethics or codes should be born from the originator's *ethos* (i.e. fundamental character). *Ethos* is something profoundly more fundamental than any set of regulations. The three principles articulated

in The Belmont Report are three fundamental markers of the ethos of human subjects protections.

All paradigms are subject to the process of *hermeneutics*, namely, the act of interpretation. Under this process, the three principles of "*The Belmont Ethos*" must undergo a hermeneutic and thereby be understood anew in each age and each context so that research efforts are tempered and shaped by human dignity and integrity. Research is best preserved and protected in this manner as a humane pathway always leading investigators, institutions, human participants, and society toward the good and always away from anything less.

Respect for Persons

Respect for persons is the first of the three foundational principles of The Belmont Report. For all who read The Belmont Report, the principle of respect for persons will conjure up nostalgically the values learned in education and home rearing. Respecting others is basic, and one of the normative lessons of life in the ordinary family or school setting. Respect for others and their personhood is so basic that the nostalgia and ordinariness of this life lesson are what can anesthetize people from its significance in human subjects protections. While the principle of respect for persons is basic, it is far from commonplace and can never be presumed.

Respect for persons has two elementary parts. First, this principle refers to the inviolability of the autonomy of another person. Second, the Report indicates that respect for persons means a special obligation to protect those who have a diminished capacity for making autonomous decisions and self-determination. In essence, each human being has a right to individual autonomy and self-determination that cannot be diminished by the will of another.

The principle of respect for persons as understood by the 18th century had sought to elevate the dignity and worth of the individual human person over tyranny. Evolving gradually over time, the rights of the individual were a crowning achievement in Western thought and formed part of the very cornerstone of the American experiment itself. The implications of this profound principle have not been exhausted and never will. The cultural discussion regarding the protection of equal rights and individual

autonomy is far from over. In each age and context, human beings must carefully and honestly look for the emergence of the darker side of human experience that is capable of exploitation, manipulation, bigotry and power. Protecting individual autonomy and those with diminished capacity is as old as civilization itself and has been traditionally one of the major measures of the moral centeredness of a society and its leaders.

The impact of this foundational principle for research and research populations has grown and expanded in line with new insights regarding the inherent dignity and autonomy of women, men and children. New experiences of what it means to be human and humane provide re-interpretation for this first of the three foundational principles of The Belmont Report.

To discover for ourselves what it means to revere this principle of respect for persons, one need only look at the origin of the term. *Respect* comes from Romance language roots that mean *to look back* or *to regard again*. An image may prove helpful to understanding what is meant here. Assume you are riding at full gallop down a road. You come upon a country scene that simply takes away your breath. At full gallop you turn your attention away from the road to “look again” or “look back” simply because you cannot resist the scene. Sometimes, the price for being so transfixed is obvious. But the reality of what is seen cannot be resisted and ultimately seems to be worth the price of falling off one’s horse.

Respect for persons occurs when the absolute worth of other human beings suddenly arrests one’s attention away from mundane concerns of daily living. One suddenly becomes aware of an *other* and the magnitude of this *other* constitutes a manifestation of humanness itself. It invades the perceptions and senses. Strange how this occurs at the most inconvenient times and upends one’s assumptions and one’s activity. History is replete with stories and examples how the most inconvenient and unlikely of characters became themselves messages about the dignity of human nature to those who were too busy to see and remember. The lowly in these stories unexpectedly invaded the sensibilities of the *busy* making them stop and wonder and be amazed.

In the act of human subjects research, genius and industry meet in a relationship between

researcher and enrollee. In that meeting there always must be something that arrests the attention and makes one wonder. For after all, to be in the presence of another woman or man or child who generously would give of themselves in research to benefit human welfare is certainly enough to make one look back or regard again.

For an Institutional Review Board (IRB) whose mission is clearly the protection of the ethical rights and welfare of human subjects from research risks, the responsibility found in respect for persons is immense. It is to uphold the rights and dignity of individual persons in any culture as pre-eminent over the charging energies arising from the research enterprise. To uphold the autonomy and rights of persons is sometimes an inconvenient “stop” in the busyness of research. In the research culture where *produce or perish* can be the whisper heard by new investigators, an IRB has a moral obligation to voice more loudly a deeper wisdom: *Protect or perish*. While one practically must be concerned about what is produced in research for sponsors and for the public trust, to violate or leave unprotected the personhood and rights of human subjects, especially the vulnerable, is, as T.S. Eliot might image it, the deepest treason of them all.

Beneficence

Beneficence is the second of the principles articulated in The Belmont Report. For many, the meaning of beneficence seems rather immediate or familiar. *Bene facere* is the Latin root phrase that forms our English term. Literally, it means *to do well* or *to do the good*. The Report clearly grounds beneficence, the *doing of the good*, upon respect for persons, its first ethical principle. Respect for persons and their autonomy necessarily must give birth to doing the good. However, in the discussion of this second ethical principle, the Report engages in a series of reflections that take the reader far deeper than a reminder to have the best interests of other people firmly in mind. In what can only be deemed an act of sheer wisdom, the Report’s discussion concerning beneficence draws the reader to consider the balance between *doing no harm* and *always doing the good*.

There is always an element of risk in human research regardless of discipline. As part of the inherent risk in research, it is not always easy to

maintain a definitive difference between what constitutes the avoidance of harms and the embrace of doing the good. It is entirely possible that to do the good means to take risks that are above and beyond what is routinely met in daily life. A doctor certainly wants to heal a patient suffering from an infection. But the most effective and lifesaving therapy will require a needle stick and the painful disinfection of a wound. Healing does not always guarantee freedom from pain. Medical research history is filled with examples of ingenious and life saving discoveries brought into being because someone, somewhere took a risk. Risk is at the very heart of human subjects research. Beneficence ensures that the risks of the act of research are kept within the essential context of the commitment to *do the good* for the benefit of others. But how does one approach this way of understanding beneficence? How does a researcher or an IRB itself understand the critical and delicate interplay between avoiding harms and doing the good?

Since 1991, the importance of human subjects protections has exploded into the world of research in a way completely unanticipated. Even in the aftermath of the Holocaust and the Nuremberg Trials, many American researchers and medical professionals did not consider that such things could ever happen in this nation. Little did many realize that research tragedies and problems were occurring in our own communities where such things *never could happen*: Tuskegee, Willowbrook, Fernald etc. Yet even in the face of these events, there still abides an unarticulated bias that IRB procedures have something to do with administration, or secondary scientific review, or institutional safeguards, or legal compliances. In its bald articulation that one must approach human subjects protections as a balance between risks and benefits, between avoiding harms and embracing the good, the principle of beneficence says something completely different regarding the purpose of an IRB and the mandate to protect the rights and welfare of human research participants. IRB's are not about the business of administration or secondary scientific review. Their primary purpose is not safeguarding institutions, institutional officials, or legal standards. Rather, IRB's are to be about the act of ethics: the discernment of what is best

for human participants who freely enroll in the act of research which itself has inherent risks. IRB's then do not engage in the facile world of simple black and white standards. They must delve into the gray fog that comes with human circumstance and perspective. And it is in the "fog" that IRB review is an act of balance and a beacon of beneficence and safety despite inherent risks.

For human beings, learning how to balance things is a life long process. It begins with balancing ourselves. It grows as we learn to carry objects. It develops greatly with the challenge of balancing a checkbook. Some of us first saw the beauty of balance, along with its dangers, when we held our breath during circus high wire acts. There we gaped and gasped as women, men and children danced and twirled—caught between the free flight of air and the ever present possibility of harm and danger below. Somehow we learned that true *balance* comes about when one can juggle both: the high call of the ethers and the pull of gravity. Researchers, institutions, and IRB's are called to do exactly the same. In the spirit of beneficence, IRB's call researchers and the act of research itself to a deeper sense of balance between risks and benefits, between avoiding harms and doing the good, between the strong headiness of advancement and the looming practical ground of human welfare, safety and goodness.

Justice

The third of the ethical principles articulated in The Belmont Report is Justice. As philosophers would say, a many *meaninged* term. Linguists remind us that language is absorbent. Words accrue and sop up diverse meanings over time. As human experience expands and unfolds, the words we use take on new, sometimes even ironic, or contradictory, meanings. For many people, the term *justice* conjures up an image of a blindfolded Greek woman bearing weighing scales. Court rooms and legal briefs become the easy images that appear when the word *justice* is articulated. But is that the fundamental meaning of this critical term in human social experience? Does justice in the human protections sense refer to civil entitlements arising from a common consensus that is the assumed basis of democratic law?

To understand justice, it is important to appreciate its roots in the Greco-Roman and later traditions of philosophy. As Western society evolved in its understanding of human nature and the place of the individual in society, the concept of justice equally grew and developed. Philosophy, especially after it emerged from medieval neo-scholasticism, increasingly though slowly addressed the fundamental dignity and freedom of the human individual. This dignity and freedom eventually evolved into a deeper cultural understanding of inalienable human rights. These rights are part of one's fundamental nature and therefore are owed by society itself to each person under the virtue of *justice*. With the coming of the Renaissance, the Reformation, the emergence of nation states, and the beginnings of the scientific and industrial revolutions, women and men increasingly claimed life, liberty and the pursuit of happiness as matters owed to them under the virtue of justice. Justice therefore is a virtue that admits that each woman, man and child is, in the spirit of our American heritage, "endowed with inalienable rights."

Justice as an ethical principal of The Belmont Report is something far deeper than simply a legal protection. As the human dignity and freedom of each volunteer must be protected indiscriminately above all things, Belmont's concept of justice means that the risks of research can never be made to sit unfairly on any one part of the population. Justice, in tandem with respect for persons as well as beneficence, requires that special attention be paid to vulnerable individuals who will be more prone to risks because of their age, incapacity, social status, or any other circumstance. Belmont's concept of justice also means that the benefits of research cannot be distributed unequally. The benefits of research cannot become the property of the privileged while others share risks with greater proportion.

Justice can be seen to challenge the mission and service of IRB's in a very different way. Respect for persons challenges the central vision of the research act. Beneficence challenges the means by which risks and benefits are to be *calculated*. One way of understanding justice is in its challenge to the *telos* or *end* of research itself. In its search to assure that both the risks and benefits of research are distributed equitably, there is a question as to what is the final *end* of

research and who owns it. In saying that the risks of research can never be borne inequitably by one part of a population and the benefits are not the privilege of an other, IRB's point investigators and their institutions to the reality that research itself in the final analysis can never belong to the scientist, the university, the industry, or the sponsor. It belongs to the public trust. Research, unlike alchemy of old, is not a secret industry hidden from human scrutiny and awareness. It belongs to the entire human community. Its *telos* is human progress but never at the expense of human protections or the expense of the widest possible benefit to society. When an IRB weighs inclusion and exclusion criteria in a protocol, inherently—albeit often unconsciously, an IRB is challenging investigators as to the proprietorship of research inquiry. In an age of consumerism where a simplistic and uncritical preoccupation with metrics and benchmarks can turn human subjects into *data* to be *mined*, this is an enormous challenge. In essence, the discernment of justice in human research leads one back full circle to the Belmont principles of respect for persons and beneficence. Justice poses the inherent challenge: Why are we doing this anyway? Are we doing it with integrity?

Hence, justice is not a *thing*. Like all three of the Belmont Principles, it is a process with a pervading and even disturbing energy. Assuring a level playing field regarding risks and benefits as part of the process of justice is not an easy task especially in a day and age of increasing human rights and human equality sensitivities and initiatives. It is of paramount importance that researchers, IRB's, institutional officials, research associates, key personnel, and sponsors be keenly aware that justice requires careful ethical discernment of all factors that would affect research participants. Such factors go well beyond the physical or medical. Justice further requires critical reflection upon the ultimate purpose of the research act in question. Justice stings the researcher with the awe-filled responsibility that comes when asking others to take part in that fragile and vulnerable act of human inquiry we call research.

Conclusion

In any principled society, there is always a need to enact regulations and laws that will keep people safe from harm and protect the heartbeat of human existence. The older we get, however, we learn that protecting human life and making human choices are not merely about complying with laws and regulations. Human life and human choices are more about the shades of gray that one finds in fog. Like travel through a fog, the journey of ethical decision-making in human subjects protections is a matter of discernment not mere compliance. But words do not come easy in fog. As Eugene O'Neill reminds us in *Long Day's Journey Into Night*, "Stammering is the strange eloquence of us fog people." The ethical discernment of human subject protections necessitates some stammering before we can articulate with precise eloquence any directions, judgments, decisions, and parameters for a protocol, an informed consent docu-

ment, a continuing review, or a final report. Human research protections is not a facile process. It is far, far deeper than punching the right tickets, making the administrative grade, or ensuring one has met the minimal requirements of a regulation or precept. Hence, today we are beginning to speak increasingly more and more about establishing in the research community not a culture of compliance or conscience, but a culture of integrity. This is highlighted in the quest to understand what it means to apply and practice the principles of human research ethics found in The Belmont Report. These principles remind the world of research to render to each research subject what is their utter and inalienable due: the protection of life, of liberty, of freedom. . . the dignity that comes to mind whenever one utters the word *human*. And when we ensure that this is the foundation for any and all forms of human participation, then we are more surely on the pathway to real *progress* in any act of research.

Feature

Information for Contributors

I. Topics of Interest

The Journal of Research Administration publishes a variety of articles intended to expand the knowledge and tools of research administration. Manuscripts are solicited on topics such as the role of the administrator (e.g., aspects of professional training, responsibilities, and career advancement); methods to improve administrative management; issues of compliance; higher education-industry partnerships; use of new technology; techniques to enhance the management of research; long-range planning strategies; procedures which stimulate faculty interest in research; and other timely subjects that will be of interest to research administrators employed in the public or private sectors. Contributors need not be a member of SRA to submit an article to the Journal. *The Journal of Research Administration* offers contributors several methods for presenting their subject matter:

- *Research papers* allow research administrators to report the results of original research. Articles should reflect the stages of the research process and be organized into distinct sections (i.e., introduction, materials and method, results, conclusions, cited references, acknowledgments, tables and figures—see “Style” below).
- *Theoretical articles* draw upon the existing research literature to advance a theory in any area related to research development and/or administration.
- *Scholarly critiques* organize, integrate, and evaluate previously published information on research development and administration. Authors should identify contradictions, gaps, and inconsistencies in this body of

knowledge and recommend the next step or steps needed to resolve the identified problem(s).

- *Commentary articles* present an author’s point of view on a topic related to the development and/or administration of the research enterprise. The author’s position is supported by literature citations, data and/or examples from personal experience.
- *Case studies* provide background information on a problem or issue related to research development and/or administration and describe how this problem or issue has been resolved within a particular organization.
- *Reaction papers* are articles in which the author responds to an article previously published in the Journal. Such articles may be initiated from the field or invited by the editor. The author of the original manuscript will always be given an opportunity to reply.
- *Brief reports* are concise descriptions of innovative techniques, procedures, or policies that would be of interest to other research administrators. Brief reports are limited to no more than 410 lines of 60-space text.
- *Review articles* evaluate books, films, and other media relevant to the field of research administration.
- *Other articles* may include edited transcripts of roundtable discussions that focus on topics of interest to research administrators; articles based on interviews with key policymakers; or other forms of written expression deemed appropriate to the mission of the Journal by the editor in consultation with the Editorial Review Board.

Except under unusual circumstances, *The Journal of Research Administration* does not accept manuscripts that have been published elsewhere, or that will be published prior to appearing in *The Journal of Research*

Administration. Authors are reminded to inform the editor of such matters at the time a manuscript is submitted.

II. Style

The Journal of Research Administration has adopted the publication style manual of the American Psychological Association (APA) as the guide to follow when submitting manuscripts. Copies are available in most public and university libraries or through most university psychology departments. Reference information: Publication Manual of the American Psychological Association (5th Ed., 2001), Washington, DC: American Psychological Association.

When appropriate, articles should be organized according to the following format:

- *Title Page.* Please include the title of the manuscript, name of author(s) with current title(s) and institutional affiliation(s) and complete mailing address for correspondence, including telephone, fax and e-mail (if applicable). Articles based on presentations should be identified as such on the title page.
- *Abstract.* All feature articles will have a 100-120 word abstract that takes key information out of the published text to convey a summary about what is contained in the article. Length up to 200 words may be indicated only for a research paper. The abstract is a clear and unbiased summary of article contents. Everything in the abstract must be in the text. Type the abstract without indents. (In This Issue, Shop Talk, and Book Review articles do not have abstracts.)
- *Introduction.* This portion should thoroughly chronicle the past history of the subject under discussion with appropriate use of references from the literature. Use of reference materials is very often an integral part of an accepted manuscript.
- *Materials and Methods.* This section should identify the procedures and techniques used to conduct the study (e.g., type of survey employed).
- *Results.* This part should summarize the results achieved as a direct consequence of the techniques/methods used in the study.

- *Conclusions.* This section should provide a concise summary of the study and any future or practical implications for the use of the results achieved.
- *Reference List.* Most journal articles should provide a reference list at the end of the article. Accuracy is the responsibility of the author; references will not be validated in editorial review. Chapter 4 of the APA publication manual provides detail on the correct format.

III. Text Format & Manuscript Preparation

Manuscripts should be submitted (including tables and figures) in double spaced, typewritten copy without page numbers (although all tables and figures should be numbered consecutively—see “Graphics” below).

Bullets

Bullets are cumbersome in scholarly work and will not be used in the journal. An exception may be made for an appendix that reproduces an already in-use reference. Numbered lists are acceptable.

Electronic Submission

All manuscripts should be submitted to the editor via an E-mail attachment. Authors should download and use the MS Word journal template found on the journal page of the SRA International Web site: www.srainternational.org MS Word (current or recent version) and WordPerfect (current or recent version) are optimal, but the publisher can translate text from other software programs as well. Manuscripts containing graphics should also be submitted in paper copy (see “Graphics” below).

Headers

The SRA journal template (available on the journal web site) uses the first four levels of the APA style for headers. To begin the article, create a separate page with the title and author’s note. On the second page, list a short and crisp title of the manuscript with the author(s) and the author(s)’ employer. The next information for a

feature article is the Abstract; this section is followed by a level 2 header that is generally titled Introduction. Level 2 headers should be used for each major subdivision of the paper. Many articles in Shop Talk will only have two

levels of headers. Feature articles generally apply a third level to subdivide major content within the major subdivisions. Level 4 headers segment key points, rules, or other content paragraphs. The style for all headings follows.

Centered Uppercase and Lowercase Heading → Level 1

Centered, Italicized, Upper and Lowercase Heading → Level 2

Flush Left, Italicized, Uppercase and Lowercase Heading → Level 3

Indented, italicized, lowercase paragraph heading ending with a period. → Level 4

Length

While the editors realize that different subjects will require treatments of different lengths, authors should attempt to keep manuscripts to fewer than 2,000 words (approximately ten 8^{1/2} x 11 manuscript pages, double-spaced).

Punctuation

Start each paragraph with an indent (except abstract). Use a comma between elements and preceding the conjunction (and, or) in a series of three or more. Use a semicolon to separate elements in a series that already contain commas. Use a colon between a grammatically complete introductory clause and a final clause. Do not use a colon to introduce an incomplete sentence. Avoid the overuse of double quotation marks

for words; use them only the first time an ironic comment is coined. If you introduce a key or new technical term, italicize it. Refer to APA p. 82-3 for specific examples. Use the proper form of a compound word and hyphenate words functioning as a noun or adjectives (refer to APA p.89-93 for many examples).

Quotations

Reproduce quotes word for word; short quotations of fewer than 40 words should appear in the text preceded with opening quotation marks (“) and followed by closing quotation marks (”). Longer quotes should be indented in a block. In both cases provide the author, year, and page citation in the text with a complete reference in the reference list. Brief examples follow.

She stated, “the federal government” (USDA, 1986, p.18) but did not clarify.

Mariel (2002, p. 213) stated, “The cost efficiency of the procedure assured its acceptance.”

Rinpoche (2002) stated the following:

Despite this massive and nearly all-pervasive denial of its existence, we still sometimes have fleeting glimpses of the nature of mind. These could . . . to comprehend them. (p.51)

Note that if part of the original quotation contains a misspelling or an omission that clarifies material these changes may be reflected through inserting the correction in brackets ([]). For example, “As [Frederick G.] Margolis stated. . .” or in a spelling correction, “the state of Cali[f]ornia. . .”

Reference List.

Chapter 4 of the APA publication manual provides detail on the correct format including the hanging indent for the second and subsequent lines of the reference. A brief list of

common citation types follow. Use Arabic numbers throughout the references unless a roman numeral is part of a title. Some examples follow.

Hewlett, L.S. (publication year). Title of work. Location: Publisher.

Hewlett, L.S. (1999). Title of chapter in book. In author or editor of book, Title of book. (pp. xxx-xxx). Location: Publisher.

Hewlett, L.S., Evans, A. E., & Belfar, S. F. (1998). Title of article. Title of Periodical, volume xx, number x, (pp. xxx-xxx).

Justin, A.A. (2001). Title of on-line article. Title of Periodical, xx, x, xxx-xxx. Retrieved day month year from <http://www...>[rest of source url address]

Roberts, N.M. (Ed.). (2001). Book title. Location: Publisher.

Typeface

Use only Times New Roman (TNR) 12 point regular type for text and headings. Present nothing in a figure or table in another type font; if space is a problem you may use 10-point Times New Roman in a table or figure. Do not use bold or underlining for emphasis. Italics are allowed as appropriate to the style guidelines.

IV. Graphics

Tables and Figures.

Tables should be numbered consecutively in the order in which they are introduced in the text, using Arabic numerals preceded by the word "Table." Identify each figure, drawing, illustration, chart or graph consecutively by number (using Arabic numerals) preceded by the word "Figure." Author must supply original data to create figures in an electronic file or in a black and white picture ready for publishing in addition to the copy in Word. Keep all text as standard Times New Roman (TNR).

All tables must follow the APA format with clear, simple lines (see APA manual at 3.69 and

the following example), labeled columns, and a concise title. A table may have notes (general, specific, and statistical). Use a table to supplement or clarify the text. Refer to the tables by number in the text (e.g., As shown in Table 8, the findings were ...). A table should be formatted in MS Word.

Complex tables should be provided as a 300dpi, 133 line screen, camera-ready grey scale print or electronically formatted as a 300dpi, tif, jpg, or PDF file.

Figures are drawn, photographed, or graphed and are presented in black and white in an electronic file (in MS Word). Complex figures may be presented as a 300dpi, 133 line screen, camera-ready grey scale print or electronically formatted as a 300dpi, tif, jpg, or PDF file.

Note: Avoid incorporating commercial references and logos in your figures. Figures must fit into one or two columns of the journal page and still be very clear. Do not use a type font other than Times New Roman (TNR).

Sample Table Format. Use italic, upper/lower-case title headers, and left justification, with lines. For example:

Table 1.1
Guidelines for Table Preparation

Format Type	Style	Comment
Crisp, clear data heads	10-12 pt. TNR	See volume XXXIII

Notes are in italic at the bottom of the table

The table's number is presented flush left (and in consecutive order) without a period after the table number. The title starts flush left one line under it.

V. Editorial Review Process

Each manuscript submitted to *The Journal of Research Administration* will be reviewed by the members of the Editorial Review Board. Authors will be notified of the status of their manuscripts as soon as a decision has been reached. Prior to publication, authors of original manuscripts will be required to sign a copyright registration form. Original manuscripts cannot be published unless this copyright form is signed by the author(s).

Manuscripts and letters-to-the-editor should be sent to Peggy Harrel, PhD, Journal@srainternational.org