48th Annual Meeting Planning is Underway!
by Pamela Whitlock

Communicate, Educate, and Advocate, the theme for the 48th annual meeting, will be the core around which the program committee will organize this year’s meeting. Reflecting that research administrators must have a variety of skills to be successful, the meeting will build on these three roles we must play to best serve our faculty and institutions.

I am pleased that we have outstanding volunteers to lead the program development this year. Judy Fredenberg (University of Montana) and Denise Wallen (University of New Mexico) will serve as co-chairs. Bo Bogdanski (Colorado State) and David Richardson (Virginia Tech) are workshop co-chairs. They lead a dedicated committee: Mildred Ofuso (Morgan State), Marti Dunne (NYU), Jan Madole (Oklahoma State), Pat Green (Vanderbilt), Jaynee Tolle (University of Cincinnati), Vivian Holmes (Harvard), Dick Keogh (InfoEd), Barbara Gray (Desert Research Institute), Maria Thompson (Tennessee State), Kathy Irwin (University of Wisconsin – Madison) and Phillip Myers (Western Kentucky University).

Planning for the 2006 48th Annual meeting began even before the 47th annual meeting drew to a close. The committee met during the 2005 annual meeting and then on January 13 to identify session, discussion group and workshop topics. This year’s meeting will offer both tracks and threads from which attendees may choose. Tracks include the expected pre-award, financial research administration, intellectual property, predominantly undergraduate institutions, and medical interests. Discussion groups will follow those themes as well as offer some topics which are beyond our traditional tracks. Two threads of interest will be inter-twined through the various tracks – eRA and international issues.

Mark your calendars now to be in DC November 5 – 8, 2006 and join your colleagues at an exciting opportunity to learn, network, and grow.

Pamela Whitlock is the NCURA Vice President and serves as the Director, Office of Sponsored Programs, University of North Carolina at Wilmington.
The 2006 Board of Directors met for the first time in 2006 on January 27-29. It was a great meeting with a lot of thoughtful discussion and exchange. As a result of our meeting, there are several exciting events to discuss with you.

The Board unanimously agreed to offer two new programs later this year. One of the programs will be a Pre-Award Research Administration (PRA) Conference that will be held August 20-22, 2006 at the Hilton in Portland, Oregon. The vision for this conference is to create an annual PRA Conference contrasting the existing FRA annual conference. A brief survey was sent to members asking whether or not they wanted this type of conference and the response was overwhelmingly positive. In addition to more traditional tracks, we expect there to be a strong eRA track with all of the Grants.gov activity as well as a track for smaller institutions. The two co-Chairs for this program are Michelle Powell, Georgia Institute of Technology, and Sally Tremaine, Quinnipiac University.

Another new program approved by the Board is a traveling workshop similar to our Fundamentals of Sponsored Project Administration and SPA II. It will be a two-day workshop focusing on the fundamentals of financial research administration and it will cover in more depth the issues and challenges faced by our financial research administration members. A development team has been assembled and is working on this program already. The development team members are Pat Fitzgerald, Massachusetts Institute of Technology; Patricia Hawk, Oregon State University; Ann Holmes, University of Maryland College Park; and, myself. We expect a demonstration workshop to be held in the Fall of 2006.

In January 2005, the Board developed a new strategic goal for NCURA relating to advocacy (not lobbying). The essence of the goal is to champion and support the research enterprise including research administration so that the field is fully respected, valued and enjoys the support of our member institutions, research sponsors and the American public. At the January 2006 meeting, the Board voted to create a task force to develop a concept for a marketing plan. The task force will look at the various ways we can market NCURA, to whom we should be focusing our efforts, and assess the organizations that can assist us through this process. The Chair of the NCURA Marketing Task Force is Dan Nordquist, Washington State University.

NCURA will also be holding another leadership training conference this summer. The training will be geared towards regional officers and all national standing committee members. This opportunity will offer leadership training specific to regional issues for the regional officers, committee structure and performance for our national standing committee members, and historical information about NCURA and its current governance structure for all attendees. We believe this training is essential to aiding our volunteer members in understanding their roles and responsibilities and will serve to strengthen the partnership between regional and national leaders.

Be sure to read the article in this newsletter relating to FRA VII. It will be held in La Quinta, CA, on April 2-4, 2006. Also be sure to register for your regional spring meeting as well. The regional meetings begin April 22nd and are held at various times through mid-May. Please check the Regional Corner in this newsletter, NCURA’s calendar and/or your regional website for more information.

If you have any questions or comments, please contact me, the other national officers or the NCURA Staff. Thank you.

Laura L. Wade is NCURA President and serves as the Associate Director of Administration for the Texas Center for Superconductivity at the University of Houston.

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Pre-Award Administration (PRA) Conference to be held in Portland, Oregon, August 20-22, 2006

Michelle Joy Powell, Training Program Manager, Georgia Institute of Technology and Sally S. Tremaine, Director, Corporate and Foundation Relations, Quinnipiac University named as Co-chairs.

Michelle and Sally are very excited about co-chairing this new NCURA conference and look forward to working with their program committee to pull together lots of interesting sessions and activities especially for pre-award grants administrators. This conference should be useful to all central and departmental folks who are responsible for funds searching, writing proposals, and/or coordinating submissions. Whether you work with faculty, students or deans to get the proposals out, or do it all yourself, this conference should have something to offer. We also plan to design two special tracks, one for smaller and predominantly undergraduate institutions and one for eRA. If you have any ideas about what should be included, please feel free to write to Michelle (michelle.powell@osp.gatech.edu) or Sally (sally.tremaine@quinnipiac.edu).

See you in August.
FY 2006 Budget

With the President's signature on December 30, 2005, the final two FY 2006 appropriation bills were signed into law. In its annual review of the federal research and development (R&D) budget, the American Association for the Advancement of Science (AAAS) describes the budget for FY 2006 as “another disappointing year.” With a small increase of approximately 1.7 percent, the $134.8 billion federal R&D budget represents a 2 percent loss when adjusted for inflation. The winners in the R&D budget are defense weapons development and human space exploration technologies with the funding for NASA absorbing almost the entire increase. Other agencies including Transportation and Homeland Security have research budget increases and Veteran’s Affairs R&D increases by 2.7 percent in large part because of its exemption from the across-the-board cuts. Small possible gains at National Institutes of Health and National Science Foundation, among others, were lost in the 1 percent across the board cut to all discretionary programs to help fund the increases in the Defense budget and emergency supplements to respond to Gulf Coast reconstruction, avian flu preparedness, and the Iraq and Afghanistan military operations.

FY 2007 President’s Proposed Budget

With this backdrop, the President presented his proposed budget for FY 2007 on February 6, 2006. The budget includes funding for the American Competitiveness Initiative (ACI) outlined in the President’s State of the Union address. The focus of the ACI on enhancing the federal investment in research and development is good news for the research community. However, the promise of the ACI comes with a cost.

The good news for research: ACI proposes a doubling of funding, over ten years, in the physical sciences and engineering. Those funds are targeted to the National Science Foundation (NSF), Department of Energy Office of Science (DoE SC), and the National Institutes for Standards and Technology (NIST) in the Department of Commerce. In FY 2007, NSF would receive a 7.8 percent increase to support more grants and investigators; the increase for DoE SC would be 14 percent above the current, FY06 budget and is targeted toward supporting more researchers and building new research tools like an x-ray light source user facility and “the world’s most powerful civilian supercomputer.” NIST would receive a 24 percent increase for “core programs.”

These gains are overset by flat funding for the National Institutes of Health that, in light of normal inflationary cost increases, amounts to a cut; and reductions for Agriculture, non-NIST Commerce programs, the EPA, Interior, Transportation, and Veteran’s Affairs. Other proposed budget reductions to support new initiatives may affect other areas of interest to universities.

The President’s American Competitiveness Initiative echoes recently introduced legislation that sets a PACE for Protecting America’s Competitive Edge (the PACE Acts). Introduced on January 25, 2006 by Senators Pete Domenici (R-NM), Jeff Bingaman (D-NM), Lamar Alexander (R-TN), and Barbara Mikulski (D-MD), the bi-partisan package of three bills implements some of the recommendations in the National Academy of Sciences report, Rising Above the Gathering Storm: Energizing and Employing America for a Brighter Economic Future (2005). The PACE Acts focus on energy, education and tax reform issues and include funding for grants and fellowships that support K-post-baccalaureate students and teachers as well as early career and distinguished scientist awards. NSF, NASA, DoE SC and the Defense basic research budget would be increased by 10 percent over seven years.

The strong support for the PACE legislation (by mid-February more than 60 senators and the President’s ACI demonstrate a strong leadership and a real opportunity for an increased federal investment in research and development. However, it’s an election year and final decisions on the budget may be delayed until late November 2006.

What does it mean for the research community?

In the current year, FY 2006, the budget reductions will likely mean fewer awards and a declining success rate for applications, and, as already announced by NIH, cuts in the budgets of continuing awards. The long-term outlook for NSF and the other agencies proposed for increases is more optimistic. For NIH, with two years of flat funding, the challenges are greater. In response to concerns about new investigators, NIH announced a new program to help postdoctoral scientists launch an independent career and has established a special resources page for new investigators and encourages new investigators to self-identify by checking a box on the face page of their R01 applications so that they can be given special consideration. Peer reviewers are instructed to focus more on the proposed approach than on the track record of a new investigator, and to expect less preliminary data than would be provided by a more established scientist. On November 30, 2005, NIH announced a pilot study to shorten the referral and review cycle for in order to permit a new investigator to submit an amended application for the next submission date. This pilot incorporates a number of features, including a shortened time for reviewers to consider applications, earlier study section meetings, accelerated production of Summary Statements, and a delayed submission date for these amended applications.

The impulse of scientists to become active advocates in Congress for the President’s proposed research and development budget should be tempered by the laws governing lobbying. University faculty and staff should consult with their general counsel and federal/government relations staff to review the rules governing lobbying activities.

Carol Blum is Director, Research Compliance and Administration, Council on Governmental Relations (COGR).
Recognizing the contributions of our colleagues can be one of the highest honors we can bestow. However, this honor relies on you taking the time to nominate your colleagues for one of four awards given each year at the annual meeting.

**Distinguished Service Award**
This award is given to up to five individuals who have made significant contributions to NCURA.
**Deadline: May 25, 2006 for nominations**

**Outstanding Achievement in Research Administration**
This award is given annually to an individual who has made a significant contribution to the profession of research administration.
**Deadline: May 25, 2006 for nominations**

**Catherine Core Minority Travel Award**
This program supports travel to the NCURA annual meeting for up to four individuals from under-represented groups who would not otherwise be able to attend this conference.
**Deadline: May 25, 2006 for nominations**

**Joseph Carrabino Award**
NCURA’s newest award is given to a federal employee who has made a significant contribution to research administration, either through a singular innovation or by a lifetime of service.
**Deadline: May 25, 2006 for nominations**

Check out the NCURA Nominating and Leadership Development Committee’s (N&LDC) Awards Page at: [http://www.ncura.edu/awards/default.asp](http://www.ncura.edu/awards/default.asp). Details on eligibility, submission process, and forms are provided for each award.

Be engaged! Talk to others in your region or within the membership and put together a nomination packet for these awards. Help to recognize the contributions made by our colleagues in the profession.

The Nominating and Leadership Development Committee invites all members of NCURA to participate in the process of selecting key members of the national leadership team by nominating (or self-nominating) individuals for these important positions.

NCURA provides many opportunities to volunteer and be active in our professional organization. By continuing to expand your involvement, you will be afforded a wealth of enriching experiences. Being active and involved in NCURA can be as simple as considering whom to nominate in your region, or within the membership, for these positions, and then making that nomination. In addition, if you are interested in these positions and would like to submit your name for consideration, we are waiting to hear from you.

This year, you have the opportunity to nominate (or self nominate) individuals for three positions: Vice-President/President-elect and two At-Large Members of the Board of Directors. For a detailed description of the current responsibilities of these positions, please view: [http://www.ncura.edu/members/positions/](http://www.ncura.edu/members/positions/). Terms of these positions will begin on January 1, 2007. Please email nominations to: nominations@ncura.edu. All nominations and supporting materials from the nominees must be received electronically on or before May 25, 2006.

Be involved! Nominate (or self-nominate) candidates for these NCURA positions.

Tommy Coggins is the Chair of the Nominating and Leadership Development Committee and serves as the Director, Office of Research Compliance, University of South Carolina.
Integrity: Do the Right Thing
by Suzanne Rivera and Toni Shaklee

Recently, the journal Science retracted two papers on human embryonic cloning because of fraud committed by members of the study team at Seoul National University. Scientists and research administrators around the world have been following the case closely, not only because of the discouraging implications for stem cell science, but also because of growing concern about the frightening consequences for researchers and staff accused of research misconduct and regulatory non-compliance. Although the Science retractions have received a great deal of attention recently, the annual reports of the federal Office of Research Integrity remind us that instances of misconduct occur on college and university campuses every year, without national attention from the press. Not surprisingly, professional journals and trade publications like The Chronicle of Higher Education are responding with calls for better ethics training for students, researchers, and research administrators. Similarly, professional societies in many academic disciplines are updating their codes of ethics and federal funding agencies are stepping up their surveillance and auditing efforts.

As research administrators, we have an important part to play in support of the scholarly enterprise. Virtually every member of NCURA has duties that in one way or another are related to the responsible conduct of research and, accordingly, should feel obligated to approach their duties with the highest standards for integrity. Toward that end, we offer here a common sense definition of integrity for research administrators that can be applied to every job class in every academic discipline: integrity is doing the right thing—even when nobody is looking.

Sounds simple, yet any of us could be faced with a vexing ethical challenge at any time: a study submitted by a high-ranking faculty member that does not adequately protect research participants’ rights or welfare; a research agreement masquerading as a “gift” to avoid assessment of institutional overhead; an unauthorized “per” signature on an annual progress report. When faced with these kinds of situations, it’s not always easy to do the right thing.

Reasonable people may disagree on what constitutes the “right” way to handle such situations, but it is our duty as leaders to consider the options carefully and honorably.

Some readers may think, “I’m not a leader. What does this have to do with me?” But research administrators are leaders! Interpreting laws and regulations, creating forms and business processes, developing and delivering training programs, reviewing proposed budgets; providing appropriate protections to research subjects—each of these activities is a leadership function. Perform these functions well and with integrity and you teach others how to do research responsibly. Do them poorly and the quality of research at your institution will suffer.

Research administrators set a tone in their departments, their schools, in campus-wide task forces and in professional organizations. The ethical challenges we face are leadership opportunities. We owe it to our research participants, to our institutions, to the public (who supports research through tax dollars), to those who use our research results to make decisions, even to the advancement of science itself, to ask ourselves the hard questions and to answer them with integrity. Even when nobody’s looking.

Suzanne Rivera serves as Assistant Vice President, Research Services, University of Texas Southwestern Medical Center-Dallas and Toni Shaklee is Assistant Vice President for Research, Oklahoma State University.

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The concept of data and safety monitoring is not new. As early as 1978, the National Institutes of Health (NIH) Clinical Trials Committee proposed a policy that would have required the establishment of a data and safety monitoring committee for every clinical trial sponsored by NIH. In June 1998, the NIH released its Policy for Data and Safety Monitoring, which generally applies to all “clinical” research sponsored by NIH, including clinical drug trials, device trials, and behavioral studies involving treatment or intervention. This policy generally requires that every clinical study have a plan for data safety and monitoring, including criteria for halting the trial if there are significant adverse impacts or the treatment is so efficacious that withholding treatment from a control group would not be ethically acceptable. That plan may involve the creation of a Data Safety and Monitoring Board (DSMB), but creation of a DSMB is not required in every instance.

In 2000 the NIH released further guidance on data and safety monitoring for Phase I and II studies, generally clinical drug trials. Since then, many of the institutes and centers within NIH have established their own guidelines for data and safety monitoring. Investigators receiving funding for clinical research projects through any institute or center of the NIH are obligated to follow the data and safety monitoring guidelines established by the specific institute or center. The various guidelines vary in size and scope with the National Heart, Lung, and Blood Institute (NHLBI) having a robust set of policies/guidelines covering not only the requirements for data and safety monitoring but also how to establish an independent DSMB and what the responsibilities of a DSMB include.

The Food and Drug Administration (FDA) released draft guidance on data monitoring committees in November 2001. Most of that guidance is similar to the policies/guidance of the NIH. However, the scope of the guidance is much broader than that of NIH in that it applies to all clinical research subject to FDA oversight, not just that funded by the NIH. Throughout the rest of this document the term sponsor will refer not only to drug company sponsors but also to the NIH centers and institutes that fund clinical research.

There are some areas in which the various policies and guidelines may vary. For instance, the number of required reviewers involved in establishing a DSMB can vary. Most of the policies/guidelines allow for between 5-7 reviewers; however, some policies/guidelines allow for a DSMB as small as 3 members, while others allow for the possibility that the DSMB may be as large as 10 members. The policies/guidelines may also vary in their specifications for the required expertise of the reviewers. All DSMBs are required to include a scientist(s) with expertise in the disease or treatment being studied and a biostatistician. Some policies/guidelines also specify inclusion of a lay member, an ethicist/patient advocate, an epidemiologist, and others. The selection of DSMB voting members can vary as well. In some cases the Principal Investigator (PI) selects the DSMB members with approval from the NIH Institute, while in other cases the sponsor appoints the DSMB members based on recommendations and suggestions from the PI. Finally, the minimal required frequency of the meetings can vary. Most policies/guidelines require at least annual meetings while others specify that the meetings must occur more frequently.

At their most basic, all of the policy and guidance related to data and safety monitoring agree on the following principles:

1. All clinical trials (Phases I, II, and III) require monitoring;
2. Monitoring should be commensurate with risk; and, 
3. Monitoring may be conducted in various ways depending on the size and scope of the research effort with the continuum ranging from review of data by the PI to the requirement for establishment of a DSMB.

Factors that impact which method of monitoring is appropriate include the phase of study, the treatment modality (high risk treatments may require a DSMB), and the disease/study population (inclusion of vulnerable populations may necessitate the use of a DSMB). Phase I and II studies are usually small, and monitoring can be difficult. Review of the data by the study investigator or by an independent individual is usually considered to be adequate. Phase III studies on the other hand are usually large, multi-center studies, which may include different arms of treatment and in some cases include randomization. These studies require review by a DSMB. In some cases (such as a Phase I study in a vulnerable patient population) it may be more appropriate to establish a monitoring committee. This committee would allow for a more broad-based review of the data without meeting the requirements of a DSMB. Some investigators (or groups of investigators) that conduct considerable research in the same area(s) may establish standing committees to serve as a data monitoring committee. For example, a Comprehensive Cancer Center may establish a standing DSMB to monitor the safety of all clinical trials administered through the Center.
Data and safety monitoring is the responsibility of the sponsor. In the case of investigator-initiated studies being conducted using funds from the NIH, the NIH expects that the PI will develop and implement a data and safety monitoring plan for the research. At a minimum, the plan must include a description of the reporting mechanisms of adverse events to the IRB, the FDA, and the NIH. The plan should include a detailed description of who will be responsible for monitoring the study data. The plan must be submitted to the NIH institute or center for review and approval. Regardless of the funding source, the monitoring plan should be submitted to the IRB for review and approval before the study is initiated.

As stated above, there are some general guidelines for appropriate membership of a DSMB. Most of the policies/guidelines require that the majority of voting members of a DSMB not be affiliated with the PI or the sponsor. Additionally, DSMB members should disclose any financial or professional conflict of interest issues related to the study being reviewed. Any disclosed conflict of interest must be managed appropriately.

At the first meeting of the DSMB, the board will select the Chair of the DSMB (if one has not already been selected by the sponsor) and determine the frequency of the meetings. In addition, based on the protocol, the DSMB will determine what data it would like to review and in what format that data should be presented. All data submitted to the DSMB are considered to be confidential. Members may be asked to sign confidentiality agreements.

The DSMB meetings should be divided into at least three parts. The first part of the meeting will be an open session during which the PI will present an overview of the study and the accrual, protocol compliance, and general toxicity data for the study. The PI will answer questions from the DSMB. The second part of the meeting will be a closed session during which the PI will not be present. The study statistician will present outcome results to the committee. The last part of the meeting will involve only voting members of the DSMB. During this portion of the meeting the DSMB will discuss the data that was presented and vote on recommendations. Possible outcomes of a DSMB review include determining that:

1. The study is safe to proceed as written,
2. The study requires modification in order to be safe to proceed, or
3. The study is not safe to proceed or that study objectives have been met. In either case the DSMB would determine that the study should be closed.

The DSMB is responsible for maintaining meeting documentation (minutes, interim reports, findings, etc). Portions of the minutes, which discuss outcome data and recommendations, will not be released to anyone outside of the DSMB until the study is terminated. Written documentation of the recommendations of the DSMB should be supplied to the PI and to the study sponsor. The sponsor is responsible for notifying the FDA (as appropriate) and all responsible IRBs of any recommendations from the DSMB.

Data and safety monitoring standards continue to evolve but there is no doubt of their importance in maintaining the safe conduct of clinical trials.

Bambi Grilley is an Instructor for Pediatrics at the Hema and Oncology Department at the Baylor College of Medicine.

NCURA is pleased to announce an intensive day and a half seminar on Export Controls Embargoes and Sanctions. This “hands-on” program will provide insightful information on developing compliance programs and address the myriad of challenges facing universities as they administer export control & embargo regulations. The seminar is intended for participants who already have a basic understanding of the regulations governing export controls, embargoes and sanctions and will focus on examples of good practices in management of export controls compliance including license procedures.

Topics will include:
- Government perspective and perceptions
- How to determine whether or not export control regulations apply
- The concepts of fundamental research exemption and deemed export
- Proper export of equipment, software and tools of trade
- The process of applying and obtaining export licenses
- OFAC licenses, screening, and oversight of embargoed countries/people/organizations
- The fundamental elements of a university export control program
- Good practices at institutions; and effective monitoring of a university export control management system
- Current and pending issues for universities

The program will include a discussion of controlled equipment in laboratories and whether access to that equipment or information and technology on that equipment may require deemed export licenses for some foreign nationals on your campus.

Faculty: Erica H. Kropp, Director, Research Administration & Advancement, University of Maryland Center for Environmental Science; Geoffrey E. Grant, Deputy Director for Management Operations and Policy, National Science Foundation; Susan Wyatt Sedwick, Associate VP for Research & Executive Director of Research Services, University of Oklahoma Norman Campus; Mary Ellen Sheridan, Associate Vice President for Research, University of Chicago.

Please note this program will have limited enrollment, so register today!
Regional Corner

REGION I

New England

We are gearing up for our Spring Meeting scheduled for May 7 - 10 at the Holiday Inn By the Bay in Portland, Maine. A special thanks to our Program Committee, chaired by Bethane Giehl from University of Massachusetts Medical School and John Harris from Northeastern University. The group is hard at work putting together a great program. Registration information will be available soon on our Region I site.

Over the past year, an Ad Hoc Committee, chaired by Sally Tremaine from Quinnipiac University, reviewed the Region I leadership structure and looked into ways to increase volunteerism within the Region. The Committee made recommendations that will include changes to the Region I By-Laws. Our Advisory Committee approved many of these recommendations. A summary of the changes are:

1) Create a position of Chair-Elect (one-year term).
2) Create a position of Immediate Past Chair (one-year term).
3) Chair position will change from a two-year term to one-year term.
4) Create a Volunteerism and Membership Committee.

The next steps will be to communicate in detail to the full Regional membership the proposed changes. The membership will then be asked to vote on the changes.

The current By-Laws require that at least 25% of the Regional membership return ballots and a majority approve of the changes. An e-mail will be sent to the membership in the very near future which will include; proposed By-Laws, details and rationale for each change, and an electronic ballot. Please be on the lookout for this e-mail. I would ask that each of you give the changes some serious thought and then vote.

Until an election can be held on the By-Law changes, I have decided to create an Ad Hoc Committee on Volunteerism and Membership. The charge of this Committee would be to oversee volunteer and membership activities, including dissemination of information and overseeing special activities/events for volunteers and new members aimed at recruitment and retention of volunteers at the regional and national level. I am pleased to announce that Stacy Riseman from Franklin W. Olin College of Engineering has agreed to chair the Committee. Stacy is looking for individuals to work with her on this Committee. If you are interested, contact her at (781) 292-2375 or by e-mail at stacy.riseman@olin.edu.

Our next RADG meeting scheduled for April 4, 2006 will be rescheduled to another day in April. This date conflicts with the NCURA FRA Conference. Details will be forthcoming.

On behalf of Region I, I would like to thank our outgoing Chair, Ben Prince from the Meyers Primary Care Institute, for his two years of service to the Region.

Ben won’t be going far. He will spend the next two years as our Board Member from Region I. Also, I want to thank Vivian Holmes from Harvard Medical School for her commitment over the past two years as Regional Representative to the Board. Finally, please welcome our new Treasurer, Tammy Raccio from Yale University.

Please make plans to attend our RADG meetings and Spring meeting. I hope to see you all there.

Gary Smith is the Chair for Region I and Administrative Director for Research in the Department Of Surgery at Massachusetts General Hospital. He can be reached at (617) 726-4208 or e-mailed at gsmith4@partners.org.

REGION II

Mid-Atlantic

It’s been a great winter so far in the Mid-Atlantic region of NCURA, but spring is fast approaching. I hope all of you are thinking about and planning to attend the Region II Spring Meeting, April 23-25, 2006. This year, we will be meeting in Galloway, New Jersey, near the Jersey Shore, at the beautiful, historic (1914 landmark) Marriott Seaview Resort and Spa. Since we will be right up the road from Atlantic City, our program theme is, appropriately, “Increasing the Odds: Strategies for Winning Research Administration.” We’re very excited about the location and plan a fun social event in Atlantic City on Monday night during the meeting.

The preliminary program is out on the Region II website, accessible through the NCURA website at www.ncura.edu. Our Program Chair, Jeanne Galvin-Clarke from the University of Maryland, Baltimore and her hard working committee have done a great job pulling together an array of workshops, concurrent sessions and discussion groups on today’s issues and concerns. There are tracks suitable for central administration types, department administrators, PUIs, postaward folks, and newcomers.

We are fortunate to have as our keynote speaker, Wise Young, M.D., Ph.D., from Rutgers, The State University of New Jersey. Dr. Young is a leader in spinal cord injury research and has appeared on 20/20 with Barbara Walters and Christopher Reeve, 48 Hours, Today, Eye-to-Eye, Fox News and CNN’s news magazine with Jeff Greenfield. In August 2001, Time Magazine named him as “America’s Best” in the field of spinal cord injury research.

Earlybird registration for the full (with workshop) program is $350 ($275 without workshop). Additional registration information is available on the Region II website. The single room rate at the resort is $149+tax+tips per night and you can reserve your hotel room, if you haven’t already, by calling the Seaview at 1-800-205-6518 or 609-652-1800. No special code is needed; just tell them you’re attending the NCURA meeting.

In other Region II news, the voting membership overwhelmingly supported the bylaws changes proposed at the end of 2005 and we are currently considering two fine candidates for the new position of Treasurer-Elect. Our Chair Elect, Ruth Tallman is heading up the newly formed Volunteer Coordination Committee and is eager to hear from you. Volunteer! It’s a
great way to meet your peers! Please contact her at rt01@lehigh.edu. The revised bylaws are posted on our website.

As you know, this is the first year for the Region II Distinguished Service Award. Several fine candidates have been nominated and the inaugural Region II Distinguished Service Awards will be presented at the Spring Meeting business meeting.

I would like to publicly thank outgoing Chair, Robert De Martino from Seton Hall University. He has done an outstanding job and it will be a real challenge to follow him. Thank you, Bob.

I look forward to seeing you in Galloway in a few short weeks. It’s going to be a terrific meeting, so don’t miss it.

Please feel free to contact me with any concerns, questions, suggestions you may have about the Region at cwwilliam@orpa.rochester.edu.

Cheryl K. Williams is the 2006 Chair of Region II and serves as Senior Research Administrator in the Office of Research and Project Administration at the University of Rochester.

From Michelle Vazin, Chair-Elect and 2006 Spring Meeting Program Chair, Vanderbilt University

Be sure to mark your calendars for the Region III Spring meeting in beautiful Miami Beach, Florida, May 7 – 10. The program is going to be packed with great workshops and sessions and will include interaction with many federal agency representatives and vendors whose products and services support research administration. You won’t want to miss this conference so make your registrations and join the fun in Miami Beach in May. Go to the following website for all your conference information: http://www.osp.vt.edu/NCURA/RegionIII/Home.htm.

From Tony Ventimiglia, Volunteer Coordinator, Auburn University

The Region III Spring Meeting provides a great opportunity for you to learn new things, network with friends and colleagues, and of course VOLUNTEER your time! Volunteers are still needed to assist with registration, technical assistance, and the hospitality suite. If you will be attending the meeting and would like to volunteer, please e-mail Tony Ventimiglia at ventiaf@auburn.edu.

From Rick Smiley, Chair of the Nominations and Elections Committee, East Carolina University

NCURA Region III will vote on the positions of Chairperson-Elect and Secretary-Treasurer for terms starting May 2006. Elections will be via electronic ballot through the NCURA website and voting will continue through Tuesday, February 28, 2006. Be watching the Region III website and the listserv for information regarding applying for the Spring Meeting Travel Award.

Jeanne V. Ware serves as Director of the Office of Research Programs and Services at New College of Florida and is Chair of the Predominately Undergraduate Institution Neighborhood.

From David Richardson, Chair Virginia Polytechnic Institute and State University

With the election of Pam Whitlock as President-elect, the region elected Pat Green of Vanderbilt University to assume Pam’s NCURA board seat for 2006. Congrats, Pam and Pat.

From Michelle Vazin, Chair-Elect and 2006 Spring Meeting Program Chair, Vanderbilt University

Be sure to mark your calendars for the Region III Spring meeting in beautiful Miami Beach, Florida, May 7 – 10. The program is going to be packed with great workshops and sessions and will include interaction with many federal agency representatives and vendors whose products and services support research administration. You won’t want to miss this conference so make your registrations and join the fun in Miami Beach in May. Go to the following website for all your conference information: http://www.osp.vt.edu/NCURA/RegionIII/Home.htm.

From Tony Ventimiglia, Volunteer Coordinator, Auburn University

The Region III Spring Meeting provides a great opportunity for you to learn new things, network with friends and colleagues, and of course VOLUNTEER your time! Volunteers are still needed to assist with registration, technical assistance, and the hospitality suite. If you will be attending the meeting and would like to volunteer, please e-mail Tony Ventimiglia at ventiaf@auburn.edu.

From Rick Smiley, Chair of the Nominations and Elections Committee, East Carolina University

NCURA Region III will vote on the positions of Chairperson-Elect and Secretary-Treasurer for terms starting May 2006. Elections will be via electronic ballot through the NCURA website and voting will continue through Tuesday, February 28, 2006. Be watching the Region III website and the listserv for information regarding applying for the Spring Meeting Travel Award.

Jeanne V. Ware serves as Director of the Office of Research Programs and Services at New College of Florida and is Chair of the Predominately Undergraduate Institution Neighborhood.

REGION IV

Southwestern

Greetings!

The Program Committee has put together an excellent program for the spring 2006 meeting in Austin, Texas. The meeting dates are May 7th through the 10th and the meeting will be at the Doubletree Hotel. The hotel is accepting room reservations. Please check the Region V website for program and registration information. Members interested in moderating or volunteering may contact Vicki Cox at vcox@bcm.tmc.edu or me at gonarasai@utmb.edu or any of the regional officers. Additional contact information and general information including directions to The Doubletree Hotel, etc. will be posted on the Region V homepage.

Preliminary discussions and efforts are already underway for the 2007 spring meeting.

As the term of some of the officers comes to an end our region will soon be soliciting nominations and choosing new officers. More information will follow and will be made available to members via the Region V listserv and/or the Region V homepage.

continued on page 13
Financial Research Administration VII continued

track brings in-depth analysis including the first time addition of Senior Level Seminars which have been very popular at NCURA's annual meeting in November.

Over 200+ experts in the field representing Colleges, Universities, the Federal Government and our vendor partners have created over 90 workshops over a 3 day period. Our presenters are preparing highly interactive and dynamic presentations to enhance the learning experience. Over half of the attendees who register for FRA VII, take advantage of the pre-conference educational workshops each year. This year, with the addition of Senior Level Seminars, this pre-conference opportunity is now extended to those senior level members in our community.

With twelve to thirteen outstanding sessions per time slot, FRA VII offers the opportunity for multiple people in your office to benefit and bring home the information to share with your institution. The reception, traditionally held on Sunday night, is a wonderful opportunity to network and connect with your colleagues. NCURA has moved this important opportunity to Monday night so that all of our attendees can take advantage of this time to make contacts with your colleagues who you can interact with throughout the year.

Make sure to take time to visit the FRA VII exhibitors. The companies that participate in the Exhibitor program have a special focus on supporting your institution in the complex environment that financial administration can often encompass.

La Quinta also offers unique and exciting off-site activities such as Balloon Above the Desert, Big Wheel Open Jeep Tour, Celebrity Tours of Palm Springs, Fabulous Palm Springs Follies at the Plaza Theatre and the Sky Watcher Star Gazing Tours. In addition to 5 golf courses (three PGA West courses and a Mountain Resort course), 41 pools, 52 hot spas, and Spa La Quinta, La Quinta Resort & Club offers a wide variety of unique and exciting activities including: horseback riding, polo grounds, bicycle adventure, The Living Desert, art galleries, rock climbing and tennis.

All this and an outstanding keynote by Dr. Charles Elachi, Director, Jet Propulsion Laboratory, make FRA VII the Annual Meeting for those involved in the financial administration for research.

John Case and Marilyn Surbey serve as the Co-Chairs of FRA VII. John is the Vice President for Finance and Administration/Chief Financial Officer, The University of Akron and Marilyn is the Senior Manager, Education & Academic Medical Centers, BearingPoint.

Noteworthy!

Milestones

Alice M. Breemer, Director, Sponsored Programs, is retiring from Des Moines University - Osteopathic Medical Center.

Chris Lind has retired from the University of Wisconsin-Eau Claire where he served as the Assistant Vice Chancellor, Office of Research and Sponsored Programs.

After nearly 5 years in the role of Assistant Director of Contracts and Grants, Financial Reporting and Operations at North Carolina State University, Sharon Boyd has taken on the position of Director of Research Administration, Education Outreach and Compliance for the University of Virginia.

Janet Hornung, Director, Sponsored Projects Services, has retired from the University of Arizona.

Robert M. Sweazy has announced his retirement from the position of Vice President for Research, Technology Transfer and Economic Development, a position he held since 2001 at Texas Tech University. He will remain with the university as a special counsel for economic development for Texas Tech President Jon Whitmore.

Tony Kalica, Director, Research Administration & Resources will be retiring from the Schepens Eye Research Institute as of February 28, 2006.

Best of luck to all of you!
The Congress has been sponsored by NCURA, the Industrial Research Institute, and the Government – University – Industry Research Roundtable. It has received support from the Kaufman Foundation, the Alfred P. Sloan Foundation, and the Wallace Coulter Foundation, as well as from Hewlett Packard, Boeing, Microsoft, and Extrude Hone. And it brought together representatives of universities, companies from various industry sectors, federal agencies, and non-profit organizations representing business and manufacturing, technology transfer, postdoctoral assistants, faculty, and research administrators.

The Congress will make two basic recommendations – that the Summit endorse the three guiding principles for building and improving industry – university relationships and that it call for the establishment of an on-going national forum for continuing the dialogue between all parties interested in seeing universities and industry work more closely together for the betterment of the nation and the world.

The three guiding principles seem obvious and simple on the surface and in retrospect. But arriving at these understandings took a lot of hard work and dialogue to build a level of trust between universities and companies. Representatives on both sides had to understand the cultures, missions, and goals of the other and repair some damage caused by past relationships gone sour or from ill will generated by negotiations that went on and on with each party seeing the other at fault. The guiding principles are:

**Guiding Principle #1:** A successful university-industry collaboration should support the mission of each partner. Any effort in conflict with the mission of either partner will ultimately fail.

**Guiding Principle #2:** Institutional practices and national resources should focus on fostering appropriate long-term partnerships between universities and industry.

**Guiding Principle #3:** Universities and industry should focus on the benefits to each party that will result from collaborations by streamlining negotiations to ensure timely conduct of the research and the development of the research findings.

The second recommendation proposes the establishment of a University – Industry Demonstration Partnership (UIDP), patterned after the highly successful Federal Demonstration Partnership (FDP). The Congress has stated the objective and means of the Partnerships as follows: “The objective of the UIDP is to nourish and expand collaborative partnerships between university and industry in the United States. The method by which this shall be achieved will be a university-industry coalition of willing partners who will engage in collaborative experiments on new approaches to sponsored research, licensing arrangements, and the broader strategic elements of a healthy, long-term university-industry relationship.”

The recommendation goes on to say, “The initial focus of the UIDP will be the development of alternative approaches to negotiating the intellectual property (IP) provisions of sponsored research agreements between universities and industry. This focus was chosen because: 1) it is almost universally seen as the “pain point” of university-industry relationships; and, 2) a modest success would translate into major benefits, particularly for the university sector.”

The first project that the Congress recommends that the UIDP undertake is the development of “TurboNegotiator” – a software tool that would be designed to assist companies and universities in arriving at suitable language for a research agreement that would optimize the chances of both parties achieving their separate goals and satisfying their independent missions. The Congress realized early on that there is no one-size-fits-all solution to arriving at a research agreement, but struggled with how one could navigate through all the various factors that play into coming up with contract language. The theory behind TurboNegotiator is that users will answer a series of interview questions that the software asks. The software will then lead the negotiator to a particular set of clauses that potentially match the situation. TurboNegotiator could then go on to ask more questions to further focus on workable language.

Most companies and universities negotiate contracts based on their own contract models – which are developed solely on organizational policy. At the extreme ends of the arguments that ensue are companies saying: “We bought it, we own it,” and universities saying, “We made it, we own it.” Negotiations that are conducted from a policy position never get anywhere, unless one party wears the other down, which usually violates the first principle. The idea behind TurboNegotiator is that negotiations should be based on an assessment of the contributions of the different parties, the risks that each undertakes, the type and stage of the research, and all the other factors that go into determining how both parties can optimize their benefits and minimize their risks.

The Summit agenda will be tightly packed dealing with these findings and recommendations. At the end of the day institutions will be asked to take home what they’ve learned and consider whether or not they want to participate in the UIDP. The decision of what happens next depends totally on the response given by the industrial community and the academic community. If enough organizations join and sign the UIDP MOU and we have the right mix of companies and universities to sustain the forum financially and intellectually, then there is evidence that there is something of value here. If not, then the communities will have voted on the Congress’ recommendations with their feet.

Letters have gone out to the senior research officers of many of the major research universities and companies. If your institution has not received an invitation but is interested in participating, please contact Dr. Merrilea Mayo, Director of GUIRR, at mmayo@nas.edu. The Summit is scheduled to be held April 25, from 8:00 am – 5:00 pm, in Room 100 of the National Academies’ Keck Building at 500 5th Street, N.W., Washington, D.C. More details will be provided to participants at a later date.

Additional information can be found at http://www7.nationalacademies.org/guirr/CURRENT_IP.html

Robert Killoren is NCURA Past President and Associate Vice President for Research at Penn State.
A handful of U.S. federal laws apply to international contracts. The laws you are most likely to encounter in sponsored program contracting are: antiboycott, antiterrorism, corrupt practices, economic sanctions, and export controls. Other laws may apply as well, but they are not as likely to pertain to a university research contract.

**Antiboycott.** Two U.S. laws prohibit participation in unsanctioned foreign boycotts.

The first boycott law prohibits your university or you from agreeing to participate in an unsanctioned boycott such as the Arab boycott of Israel. The law imposes fines, and in some cases prison terms, for violations. You cannot, for example:

- refuse to do business with or in Israel or with “blacklisted” companies;
- discriminate against other persons based on race, religion, sex or nationality;
- furnish information about business relationships with or in Israel or with blacklisted companies, or about the race, religion, sex or national origin of another person;
- implement letters of credit or documents containing “stamps,” sometimes in Arabic, requiring boycott compliance or containing prohibited boycott terms or conditions.

The second is a tax law that also prohibits your university or you from participating in an unsanctioned boycott and requires reporting activities in boycotting countries on the university’s annual federal tax returns. Treasury publishes a list of these countries each quarter. The current list includes Bahrain, Kuwait, Lebanon, Libya, Oman, Qatar, Saudi Arabia, Syria, United Arab Emirates and the Republic of Yemen.

**Antiterrorism.** The recent antiterrorism laws have some limited effect on international contracts. These laws, the Antiterrorism and Effective Death Penalty Act of 1996 and the USA Patriot Act enacted in 2001, make it a crime for a university or you to provide material support to a foreign organization engaged in terrorist activity. Material support is broadly defined and includes training. The State Department maintains a list of foreign terrorist organizations on its website.

**Corrupt practices.** The Foreign Corrupt Practices Act makes it a crime for you to offer, pay, promise to pay, or authorize the payment of anything of value to:

- a foreign official;
- a foreign political party or official thereof or any candidate for foreign political office;
- or any other person, while knowing such money or thing of value will be offered, given, or promised, directly or indirectly, to any foreign official, foreign political party or official thereof, for purposes of influencing any act or decision of such person in his or her official capacity or to secure an improper advantage to obtain or retain business.

There is only one exception to this 1972 law, for what is commonly called a “grease payment.” The grease payment exception means you may make a facilitating payment to a foreign official if the purpose of the payment is to obtain the performance of a “routine governmental action.” Routine governmental action includes obtaining permits, licenses, or other official documents or processing governmental papers such as visas or drivers’ licenses. There are also two affirmative defenses, which are, in effect, exceptions. (An affirmative defense allows a defendant in court to avoid liability for what would otherwise be an apparent, or prima facie violation of the statute for an acceptable reason.) The first is a payment that is lawful under the written laws and regulations of the foreign official’s country. The second is a payment that is a reasonable and bona fide expenditure directly related either to the promotion, explanation, or demonstration of a university’s services, or the execution or performance of a specific contract.

**Economic sanctions.** You may not contract with countries against which the United States has imposed economic sanctions. Economic sanctions are now in effect against nine countries: Burma (Myanmar), Western Balkans, North Korea, Cuba, Liberia, Iran, Iraq, Syria, Sudan, and Zimbabwe. As a general rule, all exports of goods and services to these countries are prohibited. The agency which administers these sanctions, Treasury’s Office of Foreign Assets Control (OFAC), can designate persons and companies as “Specially Designated Nationals” (SDN), that is, persons and companies subject to the same prohibitions as the country to which they have been “specially designated.” Consequently, if you cannot contract with the Syrian government, you cannot contract with an SDN from Syria.

**Export controls.** Two federal export control laws will apply to your international research contracts. One of these is administered by the State Department, the other by the Commerce Department. The State Department export control law is the International Traffic in Arms Regulations (ITAR). These regulations govern the export of any defense articles or services. These terms are very broadly defined and include furnishing assistance to foreign persons in the design, development, engineering, manufacture, production, assembly, testing, repair, maintenance, modification, operation, demilitarization, destruction, processing or use of a defense article. The State Department maintains a list of defense articles called the United States Munitions List, and it can be found on the Department’s website. A license is required before any defense service or article may be exported. Fines and prison terms are the sanctions for violations.

The Commerce Department’s export control law is the Export Administration Regulations (EAR). EAR governs U.S.-origin, dual-use items that can be used for both commercial and military applications. These regulations apply to the transfer of all such products, data, and services except for those already in the public domain. The term technical data is broadly defined as information necessary for the development, production, or use of a product. Many types of information are considered technical data, such as instruction manuals. EAR requires you to obtain an individually validated license to export certain items; even though many exports fall under a license exemption. To find out if a license is required, you can check the Commerce Control List. In many cases, exports fall under a license exception, which means no license is needed. EAR also prohibits exports to persons or companies whose names appear on lists of sanctioned entities.

**Other laws.** There are other U.S. laws that might apply to international research contracts, but they are on the fringes. A sentence or so on each will give you a sense of them and if you think they may apply, you should seek legal guidance from your university counsel.
**Antitrust.** The United States asserts antitrust jurisdiction over actions or disputes which take place outside its borders if they have “intended or actual,” “substantial or foreseeable” effects within the United States.

**Employment laws.** Most U.S. federal employment laws do not apply abroad. Three do. Title VII of the Civil Rights Act of 1964, which prohibits employment discrimination based on race, color, religion, sex or national origin; the Americans with Disabilities Act, which prohibits employment discrimination on the basis of disability; and, the Age Discrimination in Employment Act of 1967, which covers American citizens who work abroad for an American employer or a foreign employer controlled by an American employer. Foreign nationals working outside the United States are not protected by these laws, even if they work for an American employer.

**Environmental laws.** Federal law regulates how a U.S. institution exports toxic and hazardous materials and distributes products in a foreign country.

**Tax.** You will want to ensure that your foreign activities do not conflict with your institution’s U.S. tax status. If you work abroad for an uninterrupted period of 330 days each year, you may be entitled to a tax exemption on income up to $80,000.

*Joseph L. Brand, Patton Boggs LLP, Washington, D.C.*

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**On behalf of all Region V members, congratulations and best wishes to Myrta Stager as she takes on her new role as NCURA’s first Volunteer and Regional Coordinator.**

Govind Narasimhan is the Chair of Region V and is with the Office of Finance – Contracts & Grants at The University of Texas Medical Branch, Galveston.

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**REGION VI**  
**Western**  

Hello – or perhaps more appropriately, aloha,

The 2006 NCURA Region VI/VII spring meeting will take place at the Kauai Beach Hotel and Resort in Lihue, Hawaii from Sunday, April 23 to Wednesday, April 26. The program is now being finalized. We anticipate that the preliminary program will be posted to the Regional website within a few weeks. As in past years the program will feature pre-meeting Sunday workshops. The meeting itself will begin with an opening reception Sunday evening followed by two and a half days (Monday morning through Wednesday noon) of plenary sessions, concurrent sessions, and discussion groups. Please take a look at the preliminary meeting information posted at: http://www.ogrd.wsu.edu/r6ncura/meetings.asp.

At the November 2005 business meeting, Region VI decided to fund two awards to support travel to the NCURA 2006 Region VI/VII Spring Meeting. Each of these awards will provide a research administrator from within the Region VI geographic area with up to $600 for expenses associated with transportation, hotel and food costs associated with the meeting. The Awards Committee, chaired by Dan Nordquist from Washington State University, will announce the award winners by March 15th so that recipients have sufficient time to register and to make hotel and travel arrangements.

Amending the by-laws to split the secretary/treasurer position into two separate positions was also discussed at last November’s business meeting. The secretary/treasurer position, especially during those years when Region VI is responsible for meeting logistics, registration, etc., can be somewhat overwhelming. By splitting the position into two, we will not only extend volunteer opportunities, but also reduce the job to more manageable proportions. By making this change the region would be electing a treasurer-elect and a secretary-elect each year. The incumbents, after one year in the “elect” positions, would then serve as treasurer and secretary respectively. Please think about this possible by-law change. We expect to hold a formal vote fairly soon. Please look for it.

Finally, although this is advance planning, Linda Patton from California State University, Fullerton, has agreed to chair the Region VI nominating Committee. You will hear more about that in the spring and summer.

I look forward to seeing many of you in at the regional meeting.

*Ann Pollack is the Chair of Region VI and serves as the Assistant Vice Chancellor, Research Office of Research Administration, University of California-Los Angeles.*

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**REGION VII**  
**Rocky Mountain**  

Dear Region VII Members:

We are looking forward to our forthcoming Joint Region VI/VII spring meeting. It promises to be an outstanding program addressing a wide range of timely topics that are of importance to research administration. Details and registration for the spring program can be found at the NCURA website.

The meeting will start on Sunday, April 23 through Wednesday, April 26, 2006 at the Kauai Beach Resort, Kauai, Hawaii. Workshops will take place on Sunday – there will be a variety of half-day workshops to choose from. There will also be two and a half days of concurrent sessions and discussions from Monday through noon on Wednesday. Hotel rates range from $149 - $189 per night.

Attending regional meetings is a wonderful opportunity for professional development and networking. We hope that you can join us.

*Denise Wallen serves as the Special Assistant to the Vice Provost for Research, University of New Mexico.*
**Compliance Neighborhood**

by Stephen Erickson

The Compliance Neighborhood will be continuing its work begun last year in several areas.

First, we will be continuing work on the Resources section of the Compliance Neighborhood webpage. Major progress was made last year and we will be completing that project and designing a process to ensure it is kept up to date. Second, we will be reactivating the Town Hall section of the website. Third, we are discussing options for an On-Campus interview that will be posted to the website.

Fourth, we are continuing discussions over how best to frame coverage of the Compliance Neighborhood page to ensure that it best suits the needs of NCURA members. Compliance is the most difficult Neighborhood to categorize simply because so many issues cut across constituencies. So, we welcome hearing from the membership with regard to ideas and preferences.

Finally, we hope to be active use of the Compliance Neighborhood listserv and intend to create a truly interactive environment that will make the best use of the listserv as a valuable resource.

Stephen Erickson is Director, Boston College, Office for Research Compliance.

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**International Neighborhood**

by John Carfora

The Commission on International Research Administration is moving forward with the February launch of NCURA’s new International Neighborhood. The website will contain one of the most comprehensive lists of international organizations of interest to research administrators, and we are hoping to add to that list once identifiers other related links. The site will also include an International Library (version 1.0) which itself will develop over time as more relevant resources are added. For the initial launch, however, the resources listed will be the foundation for development of a comprehensive library available to all NCURA members. Finally, John Carfora (Chair of the new International Neighborhood as well as Chair of NCURA’s International Commission) has invited the President of an European-based association of research administrators to share his “international thinking” with NCURA readers. The new site will officially launch shortly.

John Carfora is Director, Office for Sponsored Programs at Boston College; Chair of NCURA’s Commission on International Research Administration and Chair of the new International Neighborhood.

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**Pre-Award Neighborhood**

by Holly Benze

Have you been to the pre-award neighborhood recently? Some updates have already been made, and more have been requested.

Some comments about our webpage are:

“I didn’t know I could access the research home pages of this many universities on just one webpage.”

“I didn’t even know that these resources were available on the NCURA website.”

“The FAQ pages found at several participating universities (links provided by PAN) are very helpful. It would be even better if a centralized ‘forum’ that provides an opportunity for members to post questions and watch other members fight over the right to claim the best answer in the ensuing ‘thread’ of responses.”

Other suggestions have been made for:

- Information on intellectual property and negotiation success stories
- Examples of contracts/agreements used by universities
- FAR clauses – which are good and which should be avoided
- Live online text chats
- Streaming video of past NCURA broadcasts

These suggestions have given us a goal to work towards. Plus we have several other ideas that will make our neighborhood “friendlier” for you, our users. If you would have other recommendations, please let me know at hab@jhu.edu.

Keep checking and find out what’s new in your neighborhood! Go to www.ncura.edu and click on Neighborhoods.

Holly Benze serves as the Assistant Director, Research Projects Administration, The Johns Hopkins University and is the 2006 Chair of the Pre-award Neighborhood.
Starting in 2006, the PUI leadership changed hands. Many thanks go out to Jerry Pogatshnik for his fine tenure as Chair of the PUI. He has agreed to stay on the PUI Committee as an active member. Taking the helm is Jeanne Ware, Director, Office of Research Programs and Services at New College of Florida. Relatively new to research administration, she is enthusiastic about the PUI. She will work closely with the PUI committee who include: Kim Pachetti, Director, Office of Sponsored Programs, Canisius College (New York, Region II); Frances Jeffries, Director, Office of Grants and Sponsored Projects, Bridgewater State College (Massachusetts, Region I); Julie B. Cole, Director, Office of Research Services and Sponsored Programs, Georgia Southern University (Georgia, Region III); Joseph McNicholas, Director of Foundation and Government Relations, University of Redlands (California, Region VI).

Listserv Involvement
The PUI listserv is a great way to discuss topics of interest and ask questions to like institutions. If you have felt like your comment or question was “not good enough” or it might “sound dumb”, I urge you to reconsider. Many of us come from offices that either we are isolated (the “one-person show”) or have no time to track down an answer. The listserv is a very friendly environment that I encourage you to use often.

Changes on tap for the Neighborhoods
There has been much discussion about the usefulness and general user-friendliness of the Neighborhoods pages on the NCURA site. Would having segments of listserv text be useful to research? What about links to other PUI sites that have been found useful? Would you read interviews about your colleagues? We want to know your opinion. I encourage you to send me an email on what you would like to see as useful resources on the page. Send it to jware@ncf.edu. Jeanne V. Ware serves as Director of the Office of Research Programs and Services at New College of Florida and is Chair of the Predominately Undergraduate Institution Neighborhood.

At the National Meeting in November, members of the FRA Committee met to set goals for the coming year. The major goal of the year will be a complete overhaul of the information found on the website. Plans are being made to do a complete review of all sections updating the content, resources available and ease of access as well as the archiving of listserv topics for future reference. The site will be updated frequently so plan to stop by often to see what is new! The first change has already taken place. Members can now sign up for the listserv directly from the FRA Neighborhood homepage. Simply enter your email address and click the submit button. An email confirmation will be sent with all information necessary for utilizing the listserv. Thank you to Mike Roberts for making this happen. If you have any suggestions for topics or content you would like to see, please feel free to contact any of the committee members. Their email addresses can be found on the Town Hall section of the website.

We hope to see everyone at FRA Conference VII being held April 2nd thru 4th in beautiful La Quinta, CA. With over 80 workshops, concurrent sessions and discussion groups it is sure to be beneficial and informative to all that attend.

Denise Rouleau, Director, Sponsored Programs Accounting, Brandeis University.

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Denise Rouleau, Director, Sponsored Programs Accounting, Brandeis University.

The Committee is looking forward to the exciting year ahead and hopes to see you in the Neighborhood soon.

The Postsecondary Electronic Standards Council (PESC) has released “Guidelines for XML Architecture and Data Modeling.” While PESCs historic mission has focused more on educational concerns such as student loan processing rather than grant administration, the US Department of Education Data/XML Steering Committee (DXSC) is considering “recommending it as a Department-wide best practice recommendation for both postsecondary and K-12.” While the Guidelines in and of themselves are relatively basic, they are an indicator of thinking in the educational world regarding XML standards. These will become more important as we face increasing demands to share information between institutions and with other external entities.

The Guidelines are posted in the NCURA eRA Neighborhood (http://www.ncura.edu/members/Neighborhoods/era.asp); the URL for the PESC is http://www.pesc.org/.

Tom Drinane, Dartmouth College, Office of Sponsored Projects, Chair eRA Neighborhood.
POST-AWARD ISSUES FOR THE PRE-AWARD AND DEPARTMENTAL ADMINISTRATOR

There is a fine line between pre- and post- award administration. In some universities, these functions are handled within one office. In others, these functions are handled by separate personnel in separate offices. Regardless of whether your institution has a combined or separate office structure, all pre- and post- award personnel must possess a thorough understanding of proposal preparation through award closeout. With this overall knowledge, research at your institution will be more effectively and efficiently managed. This is a proactive approach to ensure pre- and post- award personnel work together in the award management process.

To provide a few examples -- Pre-award personnel participate in the proposal budget preparation process. If that pre-award employee understands the complexities involved in allowable versus unallowable costs and internal versus external rebudgeting, they can ensure the proposal budget is a thorough and accurate reflection of the expenses needed to conduct the scope of work. In doing so, they also minimize the need for cost disallowances and/or external requests to the agency. If the post award employee understands that National Institutes of Health (NIH) renewal applications should identify carry forward funds in excess of 25%, they can relay the carry forward amount to the pre-award personnel to ensure this information is accurately reflected within the renewal application.

This program will help demystify complex post-award issues by examining the synergistic relationship of pre-award and post-award offices and functions.

Learning Objectives:

• Participants will gain a greater awareness of the impact that both pre-award and post-award functions have on each other
• Participants will understand the impact that decisions made in the proposal and award negotiation stage have on the PI, and the institution’s ability to conform with the terms and conditions of the award
• Departmental Administrators (the advocate for the PI) will have a better understanding of what the pre-award administrator needs are and the pre-award administrator will have a better understanding of what the post-award administrator needs are regardless of the size of the institution or the number of FTE devoted to research administration

Cast from the January 24, 2006 Video Workshop: (l to r) Ed Herran, Director, Office of Sponsored Projects, Memorial Sloan-Kettering Cancer Center; Patrick Fitzgerald, Director, Office of Sponsored Programs, Massachusetts Institute of Technology; Kathleen Larmett, Executive Director, National Council of University Research Administrators; Toni Lawson, Associate Director, Office of Research Administration and Advancement, University of Maryland, College Park; Marilyn Surbey, Associate Vice President for Finance and Research, Emory University.

Moderator: Ed Herran, Director, Office of Sponsored Projects, Memorial Sloan-Kettering Cancer Center
Faculty: Marilyn Surbey, Associate Vice President for Finance and Research, Emory University; Toni Lawson, Associate Director, Office of Research Administration and Advancement, University of Maryland, College Park; Patrick Fitzgerald, Director, Office of Sponsored Programs, Massachusetts Institute of Technology

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GRANTS.GOV: WORKING TOWARDS A COMMON VISION

Both federal awarding agencies and the grantee community have much to gain by simplified, standardized and streamlined processes for proposal preparation, submission and grant administration. Where are we in reaching this mutual goal? This video workshop will provide an overview of Grants.gov (the single access point for federal grantees), the current status of its FIND and APPLY functionality, and its plans for future initiatives. In addition, senior federal agency leaders will present on the development of the Standard Form (SF) 424 R&R (the common Federal format for submission of research applications) and federal agency implementations of the 424 R&R and grant submission through Grants.gov. University participants will discuss challenges and implementation strategies for grants.gov and electronic research administration. This is an exciting and challenging time for the university research community and federal partners, and a time when an open exchange of information, and the sharing best practices and strategies are critical.

This workshop is aimed toward the sponsored programs administrator and/or director and will provide an opportunity to consider the strategic, operational and cultural issues associated with this significant change in proposal submission. Call-in questions or discussion of implementation strategies is encouraged.

Learning Objectives:
Participants will:
• Gain an understanding of the current status of Grants.gov;
• Understand the requirements for specific agency implementations of Grants.gov and the status of these implementations;
• Learn about other future post-award initiatives of Grants.gov or federal granting agencies;
• Be apprised of university challenges and implementation strategies for Grants.gov

Moderator: Gunta Liders, Associate Vice President for Research Administration, Office of Research & Project Administration, University of Rochester
Faculty: Jean Feldman, Head, Policy Office, Office of Budget, Finance & Award Management, National Science Foundation; Marcia L. Hahn, Director, Division of Grants Policy, Office of Policy for Extramural Research Administration, OER, National Institutes of Health; Rebecca Spitzgo, Program Manager, Grants.gov; Nancy Wray, Director, Office of Sponsored Projects, Dartmouth College

JUNE 13, 2006

NATIONAL SECURITIES ISSUES VIDEO WORKSHOP

This program will address issues involving research that may involve national security concerns. Topics will include export control regulations, involvement of foreign nationals in research, international collaborations, “sensitive but unclassified” data, and security issues related to select agents and biocontainment laboratories and facilities. Discussion will also include institutional procedures related to export control as well as sensitive research projects, facilities, or activities.

Other areas of consideration include: negotiations, contract clauses, visa issues, sensitive but unclassified research, contract issues between universities and DOD agencies on biodefense projects, rules on use of select agents and biodefense pathogens and designing a secure facility

Moderator: Susan Sedwick, Associate Vice President for Research and Executive Director, Office of Research Services, University of Oklahoma
Faculty: Jilda Garton, Associate Vice Provost for Research and General Manager, GTRC, Georgia Institute of Technology; Stephen Erickson, Director, Office for Research Compliance and Intellectual Property Management, Boston College; David Brady, Industrial Research Contracting Officer, Office of Sponsored Programs, Virginia Tech; Elizabeth Scott, General Engineer Technology, Nuclear & Missile Division, Bureau of Industry and Security, US Department of Commerce

SEPTEMBER 12, 2006

TECHNOLOGY TRANSFER FOR THE RESEARCH ADMINISTRATOR

The ins and outs of “Technology Transfer,” the conveyance of intellectual property developed by university researchers over to the private sector where it can be commercialized to better serve the public good, can appear to be unduly complex to the layperson. This workshop will provide an overview of the technology transfer process and the thought processes and necessary infrastructure underlying it. Topics covered will include the Bayh-Dole Act, the Tax Reform Act of 1986, patents, licenses, options, copyrights, trade secrets and trademarks, research agreements, confidential disclosure agreements, and material transfer agreements. The workshop will also provide a historical context for the rationale behind government, university, and industry collaborations which facilitate such transfer of technology to the private sector.

Learning Objectives:
Participants will:
• Gain an increased repertoire of contract language to use in negotiations
• Have a better understanding of how industry views, reviews, and manages agreements

Moderator: Connie Armentrout, Director, Technology Licensing, Monsanto Company
Faculty: Ann Hammersla, Senior Intellectual Property Counsel, Office of Intellectual Property Counsel, Massachusetts Institute of Technology; Susan Butts, Director of External Technology, Dow Chemical Company; Ray Wheatley, Director for Technology Transfer, The University of Texas Southwestern Medical Center at Dallas
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Scores of important questions arise in the day-to-day world of sponsored research. Now, there’s one authoritative guide that provides practical answers to questions about managing sponsored programs. Published by NCURA and Atlantic Information Services, Inc., SPONSORED RESEARCH ADMINISTRATION: A Guide to Effective Strategies and Recommended Practices will provide college and university research administrators — and others involved in sponsored programs on campus — with a “living textbook” on the wide range of research management challenges they face each day. It features principles and practices, sample policies and procedures, effective strategies to pursue, critical success factors, and pitfalls to avoid.

Sponsored Research Administration is written by more than 20 of the top sponsored research administrators in the U.S., chosen for their unique expertise in the subject areas covered (see Table of Contents for individual authors) and overseen by Editorial Director Richard P. Seligman, Ed.D., who is responsible for identifying topics for chapters, outlining content, selecting authors and managing the work of the project’s Editorial Advisory Panel, including:

- Chair: Richard P. Seligman, Ed.D., Senior Director, Office of Sponsored Research, California Institute of Technology
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- Marti L. Dunne, Associate Vice Provost for Research Compliance and Administration, New York University
- Christina K. Hansen, Assistant Vice Chancellor, Office of Research Administration, University of California, Irvine
- Stephen Hansen, Dean, Graduate Studies and Research, Southern Illinois University at Edwardsville

Table of Contents

1 An Overview of Sponsored Research Administration
Julie T. Norris, Director Emeritus, Office of Sponsored Programs, Massachusetts Institute of Technology

2 Organizational Models
Elizabeth Mora, Associate Vice President, Sponsored Programs Administration, Harvard University

3 Communication
Kim Moreland, Director, Research and Sponsored Programs, University of Wisconsin, Madison

4 Information Technology
Kenneth G. Forstmeier, Director, Office of Research Information Systems, Pennsylvania State University

5 Electronic Research Administration
Stephen D. Dowdy, Assistant Director, Office of Sponsored Programs, Massachusetts Institute of Technology

6 Training and Education
Pamela A. Webb, Senior Director for Sponsored Research, Stanford University

7 The Regulatory Environment
Ann M. Holmes, Chief Operating Officer, Center for Advanced Study of Language, University of Maryland, College Park

8 Research Compliance
Alice Tangredi-Hannon, Institutional Compliance Officer, Office of Institutional Compliance, The Trustees of the University of Pennsylvania and Stephen Erickson, Director, Research Compliance and Intellectual Property, Boston College

9 Indirect (Facilities and Administrative) Costs
Patrick Fitzgerald, Director, Office of Sponsored Programs, Massachusetts Institute of Technology

10 Intellectual Property
Mary Ellen Sheridan, Associate Vice President for Research, University of Chicago

11 Special Issues for Medical Schools
Gunta J. Liders, Associate Vice President for Research Maryland, University of Rochester

12 Special Issues for Undergraduate Institutions
Milton T. Cole, Assistant Vice President of Academic Affairs, Villanova University

13 Preaward Services
Stephen Hansen, Dean, Graduate Studies and Research, Southern Illinois University, Edwardsville

14 Administering Research Contracts
David J. Mayo, Associate Director, Office of Sponsored Research, California Institute of Technology

15 Legal Considerations
Kathleen S. Irwin, Senior University Legal Counsel, University of Wisconsin, Madison

16 Interactions With Auditors
Denise J. Clark, Director of Research Administration and Finance, Rensselaer Polytechnic Institute

17 Post-Award Administration
Jane A. Youngers, Assistant Vice President for Research and Sponsored Programs, University of Texas Health Science Center at San Antonio

18 International Research Collaborations
John Michael Carfora, Director, Office for Sponsored Programs, Boston College and Denise A. Wallen, Special Assistant to the Vice Provost for Research, University of New Mexico

19 Managing Subawards
Robert A. Killoren, Jr., Associate Vice President for Research, Pennsylvania State University

20 Assessing the Sponsored Programs Office
Peggy S. Loury, Director, Office of Sponsored Programs and Research Compliance, Oregon State University

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