September/October 2007

NCURA

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Volume XXXIX, No. 4

ARE WE READY?

How institutions are preparing staff to take over senior roles.

ALSO INSIDE:
NCURA Election Results

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Times have changed and planning for the future is more critical now than ever before. Focused on succession planning, veteran research administration professionals discuss their experiences and explore ways to ensure a successful transition to the future.

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Professional Opportunities

NCURA Expands its International Partnership

By Pamela Whitlock

AT THE 2003 NCURA BOARD OF DIRECTORS ANNUAL STRATEGIC PLANNING MEETING, A GOAL WAS ADDED TO SUPPORT AND BE A MOVING FORCE IN THE INTERNATIONALIZATION OF RESEARCH.

To date, activities have included the formation of the NCURA International Commission, inviting the officers of the European Association of Research Managers and Administrators (EARMA) to attend and present at the NCURA Annual Meeting, and supporting the attendance of two NCURA representatives to the EARMA Annual Conference. You may have also noticed an increased number of presentations addressing the growing partnering of our US institutions with those located in another country. Each year the Board has renewed the commitment to international partnering and outreach, identifying activities supporting NCURA's primary mission of education, as well as the commitment to internationalization of research administration.

Recently, NCURA created the International Neighborhood to promote and highlight resources and activities. It strives to provide a mix of practical and intellectual benefits to visitors. The Chair of NCURA's International Commission, John Carfora, has served as the International Neighborhood chair since its creation. The Board of Directors' commitment to international collaboration is so strong that in 2006 it voted to make this neighborhood the *only* NCURA neighborhood not restricted to NCURA members only and, as such, has had visitors and contributors from around the world.

June 2007 marked an expansion of NCURA's international partnership activities. At the invitation of the EARMA President, Wiktor Kurzeja, and Vice President, Paul Craven, a contingent of NCURA representatives including: President, Pam Whitlock; Vice President, David Mayo; International representatives, John Carfora and Denise Wallen; and, Executive Director, Kathleen Larmett, arrived in Warsaw, Poland to attend the EARMA Annual Conference. We were each invited to present on a specific topic. The european research administration community is often organized more independently than US units and is very interested in best practices, gaining buy-in from other offices and many of the same issues we in the US face, including Grants.gov. John, Denise and David presented information regarding opportunities for fostering international collaboration in different organizational structures. Kathleen's expertise and capabilities were recognized through being invited to give a plenary session on NCURA's governance structure and the positive impact it has had on NCURA's success. Shortly after our trip, NCURA Board member and newsletter co-editor, Jim Casey, was invited to substitute for Bob Killoren, President of the University/Industry Demonstration Partnership, at a conference in Queensland, Australia which was sponsored by the Queensland University of Technology Law Faculty and the Australian Government. While there, representing the UIDP and presenting its first demonstration project, "TurboNegotiator," Jim was able to make new connections on behalf of NCURA and its International Commission, particularly with Australian research administrators in attendance.

I am pleased to announce one of the outcomes of the NCURA/EARMA partnership is a pre-proposal by John and Denise for NCURA and EARMA to explore an international fellowship exchange program offering research administrators from each side of the "big pond" opportunities to spend time on-site learning how other nations "do" research administration. NCURA and EARMA representatives met after the Warsaw meeting and were very excited about the possibility of creating this learning opportunity for our members. The concept was approved by the Board of Directors in July and work is progressing to identify some of the more concrete parameters of the program itself, as well as exploring funding sources for the joint venture. This solid partnership exemplifies the opportunities to think globally about our profession and act locally through NCURA and our institutions to make a difference in our profession and the lives of those we touch.

Pamela Whitlock is the President of NCURA and serves as Director, Office of Sponsored Programs, University of North Carolina at Wilmington.

NCURA Representatives with EARMA President and Vice President in Warsaw, Poland

KEY INTERNATIONAL ACTIVITIES TO DATE

- Formation of the NCURA International Commission
- Increased number of presentations addressing the growing partnering of our US institutions with those located in another country
- Renewed commitment to international partnering and outreach
- Creation of the International Neighborhood
- International partnership with EARMA

SUCCESSION Planning

by Gale Wood

Hold onto your hats!

In research administration, as in all sectors of the economy, the rate of job turnover is unprecedented. According to a recent national study, "three quarters of nonprofit executives don't plan on being in their current jobs five years from now."[1] This kind of job mobility often translates to more time spent in personnel recruitment and training, increasing numbers of employees in "interim" positions, and more work for everyone while positions are being sought after and filled.

Add to this the fact that employment in the non-profit sector is growing. Thomas J. Tierney estimates that "Over the next decade nonprofits will need to hire some 640,000 new executives, nearly two and a half times the number currently employed."[2] Further, these startling numbers do not include those employed by universities or the federal government, where the same trends are occurring. (To bring the federal picture closer to home, the NSF Office of Finance and Award Management has seen a retirement rate of over 10 percent this past year.)

"In the last ten years, research administration has matured as a profession, and as it's gained credibility and visibility in the university setting, our unique skill set is now being recognized and experienced people sought more actively. We need to be prepared for this new reality," says Peggy Lowry, who has recently retired from her university position.

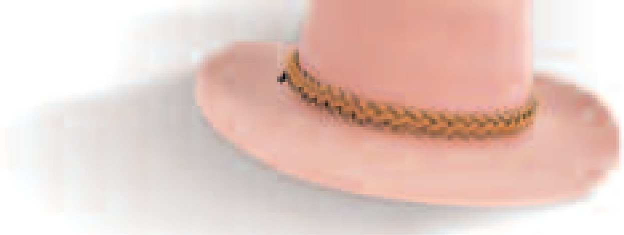
As more and more research administrators—and their state and federal counterparts—are moving on, moving up, and retiring, universities and their research enterprises are beginning to talk about succession planning—or should be. The pressures to do so are mounting.

Moving On

Cindy White, the new Director of Sponsored Programs at Belmont University, Nashville, Tennessee, recently left the institution where she'd been working for 10 years when her daughter left for college, figuring this would be a good time for a change in her life, too. Typical of research administrators who leave their institutions for new challenges, greater responsibility, or a better fit with their life style, Cindy had been contemplating decisions about her future at the same time other universities had been undergoing extensive nationwide searches for experienced research administrators. When the opportunity to start a new office of sponsored programs arose in the small university her daughter was attending, and which was also near her aging parents, she made the leap.

As Cindy starts her new department from scratch and looks back to the much larger one she left at Washington University, she is acutely aware of the need to hire people for a combination of their attitude and their aptitude, keeping the long-term view in mind. If the "right" employees can be trained from within, a career ladder can be built, along which people can be developed and coached so that when someone leaves at a higher rung, there is someone there to step up. Succession planning, she advises, is best developed as a culture and not something that you think about only when you know someone is planning to leave.

Mary Santonastasso and John Grzechowiak, from NSF's Division of Institution & Awards Support agree wholeheartedly with this approach. As Mary put it, "Succession planning needs to be developed as part of a more comprehensive workforce planning process, which takes into consideration the long term needs of the organization. This needs to be an integrated strategy across and among departments, aligning the requisite skill sets with the mission and future direction of the organization. I try to look across functions to anticipate where there might be vacancies, as well as across the career development spectrum to anticipate the different expectations people have along the way." She adds, "As the Boomers approach retirement and younger workers enter the market with different work-life balance needs, I try to have a deep bench in order to maintain continuity." John and Mary encourage managers to be creative in meeting the varied needs of their diverse workforce, including telecommuting, flexible hours and other tools designed to keep the best employees in the pipeline.



"You need to have a succession planning culture that operates continually along a dual track, one that contemplates replacing people who are going to be retiring, and one that looks at new skill sets that need to be developed over the long term," adds John. With his 34 years of experience and institutional knowledge, Grzechowiak believes strongly that mentoring possible successors needs to begin years before that possibility becomes a reality. Through years of job shadowing and coaching, employees can learn not just the system but also the politics of how to move through it.

To keep potential successors in the pipeline, Cindy White also believes that organizations need to invest more resources in a middle or second-tier manager pool. The advantages are numerous: when a true career ladder exists, directors are more productive, and the organization stands a better chance of promoting from within when a senior person inevitably moves on. "Directors often feel overburdened—starved instead of lean—if they have too many direct reports and too few lieutenants," she explains. In offices with flat management structures that have little opportunity for job growth, "uncrowned stars" can easily choose to move on to move up, or to move on to a place where they feel recognized for their potential future value.

Moving In

As research administrators move on to move up, most are hired for vacancies in existing structures. Jackie Hinton recently relocated to the University of Utah, where she is a Grant Writer and Project Administrator. She was fortunate in being able to work with a colleague who knew the ropes and the politics of the office, enabling Jackie to integrate more easily into the department and establish trust early on. She believes that if the office can establish an environment of trust early on, the transition is much smoother for all concerned. She advises, "Believe that you have hired the best employee possible for the job, and that the new employee is here to do the best job possible. Communicate clearly with current employees about the new hire, what his or her role will be, and how it will affect current employees."

Moving Up

Holly Benze was promoted two years ago to Associate Director of the Research Administration office at Johns Hopkins University when her supervisor left to take a higher level job at a neighboring institution. In turn, Holly's position as a contracts officer opened and was filled from within, thus creating a new opening at that level for a junior person. She was fortunate that at her institution, mentoring and cross-training are part of the culture. Nonetheless, Holly was surprised to realize that although one might have acquired the functional knowledge of one's supervisor, there is still a lot of institutional knowledge that can leave with a departing person. As a result, Benze has put into place a cycle of job shadowing for all of the positions, as well as identified a backup person for each employee.

Another tool in Holly's Research Projects Administration office is that of written "milestones" for each position. Holly explains that the new system will make it clear to those who want to move up the ladder what they need to know and have experienced. There are opportunities for people to meet those milestones even if they aren't part of the existing job, making it easier for someone to move into a higher level position ready to perform it. Benze notes that just the process of analyzing each position to write the milestones is a useful exercise in understanding training and coaching needs.

As Lisa Laatsch, who was promoted two years ago to her position as Assistant Director, Finance & Administration in the Arizona Research Labs at the University of Arizona summarizes, "I think it's important for managers to continuously cultivate leadership amongst their employees and to cross train as much as possible. If both are done successfully, when leaders depart their absence will not create black holes that only one employee can fill because he or she is the only person with the knowledge to complete the leaders' tasks."

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The Research Administration Workforce of the Future

Forty years ago, the membership of NCURA was made up largely of white males. If some of those early members walked into the annual meeting today, they probably would not recognize it as being the same organization.

The workforce in research administration has become decidedly more female, and as the Boomer generation bids NCURA adieu, it is a safe prediction that more and more director and manager positions will be filled by women who have grown up in the profession. What other changes might we expect to see in the research administration workforce of the future?

- **More members of racial and ethnic minority groups.** People of color are more visible at NCURA, and smart managers are diversifying their workforce to provide better support to an increasingly diverse group of faculty and graduate students, who themselves have more diverse research interests. A quick glance down the grant titles at one major research university yields projects on everything from Latina literature to the cost of addiction in our inner cities, to historical studies of the slave trade in North America.
- **The possibility of telecommuting for some central office positions.** Some universities have already implemented the paperless grant proposal, and you can "push the button" on grants.gov from any computer that has the right software and internet connections. Many central research administrators already work at off-campus locations, because they have minimal face-to-face contact with faculty members or departmental administrators. Can telecommuting be far behind?
- **Even greater specialization.** Years ago, tech transfer, the IRB and IACUC were usually part of the research or sponsored programs office. That has long since ended at most schools as the need for specialized knowledge of technical issues and concerns over conflict of interest have dictated the need for separate offices. As volume increases, expect jobs to become more narrowly focused. Will that make entry-level positions in research administration too repetitive and boring?
- **More colleges and universities represented among the NCURA membership.** As the fiscal realities of the early 21st century become apparent, colleges and universities that never paid much attention to extramural funding are opening grants offices and helping their faculty members compete for extramural support. NCURA needs to reach out to those new research administrators. The result will be a larger profession practiced at even more locations.

SUCCESSION Planning

Continued

Moving Out

After being a research administrator for most of her career, Peggy Lowry began to think about early retirement when her husband retired. She had twice moved on to move up and was ready for a new challenge. After talking to her financial advisor and determining that she could afford to retire, Peggy began the next phase of her life last year. Whether retiring early or at age 65, the Boomers who have dominated the profession are leaving their institutions at a rapid rate. When they leave, they take with them institutional knowledge and years of experience in the field.

Looking back on her job changes, Lowry advises that offices need to prepare for the inevitable departure of senior managers who are approaching retirement by preparing successors and subordinates alike in the always evolving areas of policies and process. "To the extent that policies can be transparent and communicated to all concerned, as those policies change due to internal and external forces, the better off the office and the institution will be," she emphasizes. Similarly, regarding process, how an office deals with established policies as well as with new regulations needs to be captured and updated in the operating procedures staff members follow. Finally, Lowry stresses the need for continually mentoring junior staff members through their career stages so they are ready to assume greater responsibility when senior staff leaves.

Finally, when asked for advice to the organization on how to work with departing employees you are sad to lose, Hinton suggests, "Make sure you recognize their accomplishments in some way and send them off on a good note. Involve them in what can and should be done during their remaining time to help smooth the way for a new employee."

Moving Back

Some institutions may have taken a shorter view on succession and not yet developed a culture that is based on comprehensive workforce planning. For that reason, and because of the increasing "brain drain" as the Boomers retire, some institutions are asking retired research administrators to return on a part-time consulting basis to mentor younger employees or to codify the institutional knowledge they carry from their years of experience in the system. For example, Lowry agreed to return to Oregon State University on a limited, part-time basis, a situation that has helped her make the transition, as well as helped the department. Santonastasso and Grzechowiak report this is also happening in the federal system. Congress has recognized the value in having experienced retirees return on a part-time basis as well and is working on legislation that will make this more attractive for someone who is already enjoying a full pension.

Moving Forward

Succession planning is becoming increasingly critical in university research offices as a way of ensuring continuity in the grants administration process. The talent pool for research administration needs to be expanded, a strategic goal of NCURA. As NCURA raises the profile of the profession and builds the skills of its members, it increases the number of qualified new entrants to the field. Moreover, sustainable success requires the understanding that succession planning is an on-going journey and not an end for anyone; it must be seen as a day-to-day management strategy:

- Groom successors for spots that will be vacated by retiring administrators and by administrators who move from one institution to another. Investing in leadership and management development programs should be seen as an investment in the long-term future of the institution's ability to receive and manage future grants.
- Focus on attracting, retaining, and "growing" experienced staff. Advocating for competitive compensation and the development of merit-based systems to award employees is an important management retention tool.
- Develop processes to retain the knowledge and contact base each staff member has developed over the years. When a valued employee leaves, far more than his or her skill set can be lost in the process. In a knowledge-based world, this can be especially costly and hard to replace.
- Developing a culture and mission to which a new generation of employees can commit is another challenge that offices must face. The reality of today's marketplace is that loyalty is more based on the quality of one's work life and how valued the employee feels than on the institution itself.

As the profession is recognized for the unique skill and experience sets that define it, the stakes are increasingly higher for the ever more mobile and competitive research enterprise.

Gale S. Wood, CAE, CCC is the President of COMET Consulting & Coaching, a practice that focuses primarily on leadership, organizational, and management development the nonprofit sector. She has been working with research administrators sInce 2004 and is the facilitator of NCURA's Leadership Development Institute (LDI).

[1] Bell, J., Moyers, R., & Wolfred, T. (2006). *Daring to Lead 2006: A National Study of Nonprofit Executive Leadership.* CompassPoint Nonprofit Services and Eugene and Agnes E. Meyer Foundation.

[2] Tierney, T. J. (2006). *The leadership deficit. Stanford Social Innovation Review, Vol. 4, No. 2 (Summer), pp. 26-35.*

Leadership TIPS

Enabling Others to Act

As we continue with Kouzes' and Posner's fourth practice of exemplary leadership—Enabling Others to Act—we will review some leadership fundamentals. Enabling others to act involves fostering collaboration where creating a climate of trust is essential.

Successful leaders have demonstrated the importance of trust and collaboration in improving team performance. They have shown that team goals are met because of collaborative rather than individual performance. In research administration, challenging situations often arise with a great deal of urgency. Success is more likely assured when they are able to work in a climate of trust, acknowledge interdependence among team members, and support face-to-face interactions. Learning how to assess the needs and requirements of your team so that they can develop these elements will enhance collaboration and improve overall performance.

CREATING A CLIMATE OF TRUST is the primary competency if leaders are to enable others to act. Effective leaders must make a conscious effort to develop and sustain trust among team members. People are more willing to risk being innovative and creative when they feel trusted. As leaders, we must first have trust in others. Although you may feel vulnerable and uncomfortable at first, the rewards of developing a high-trust group will enable your employees to grow and prosper. Employees experience more success as a group, more personal satisfaction and higher levels of commitment to excellence.

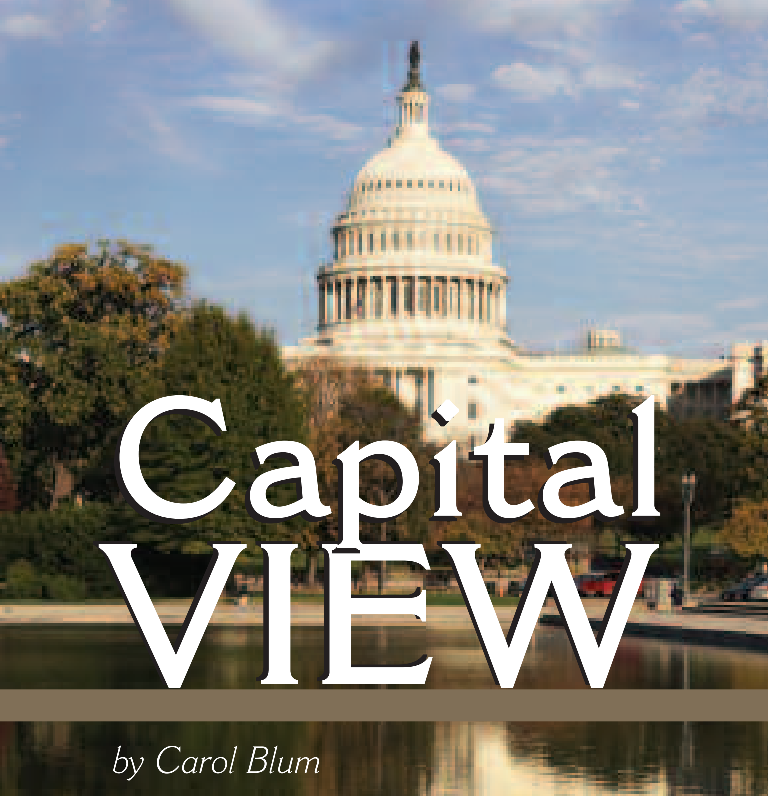
ACKNOWLEDGING INTERDEPENDENCE AMONG TEAM MEMBERS is the second component in fostering collaboration and enabling others to act. When a sense of interdependence exists, we tend to rely on each other. Genuine teamwork enables extraordinary achievements that could not be accomplished individually. An understanding of mutual dependence is essential for success in the research administration environment. Interdependence among team members also involves reciprocity. A readiness to be cooperative, and not take advantage of others' willingness to share, is a very successful approach to achieving collaborative goals. The risk of escalation is minimized with reciprocity. In addition, when people know you'll reciprocate they're more likely to cooperate with you and become a recipient of your cooperation. It's a win-win situation. Highly collaborative people tend to be team players who get more pleasure from the group's success than their own individual achievements. Emphasizing the long-term goals of the group can help strengthen the team and enable them to continue during temporary setbacks.

FACE-TO-FACE INTERACTION interaction is the most powerful competency in fostering collaboration and enabling other to act. It is extremely valuable for us to intermingle and have team members associate with internal and external contacts. Positive face-to-face communication promotes relationships that will have a positive influence on tomorrow's dealings. If we can approach face-to-face interactions with the assumption that we'll be working together in the future, building a good relationship will be mutually important to everyone on the team. Expanding our network of collaborators increases our opportunities for success. Nurturing these relationships and investing time and effort in building new relationships enables us to accomplish extraordinary goals. Staying connected to people that we deal with on a regular basis will keep us engaged. In today's world, it's more difficult to maintain face-to-face encounters where we try to build many of relationships by a click of a mouse and the stroke of a key. Leaders must remember—as we build trust, virtual trust doesn't really exist. As with many aspects of research administration, we must balance our use of technology with the human contact—a balance that is vital to building effective teams. One way we achieve this balance is by sharing resources and information. When team members share a common goal and are committed to seeing it achieved, they are willing to share the necessary resources to make it happen. Face-to-face interaction requires a level of social competency. Social awareness and social skills must not be underestimated. Building strong relationships and working well with others will have a direct impact on your organization's future successes.

NCURA members have an advantage. Many of us understand and practice Kouzes' and Posner's leadership pearls and many of our colleagues are successful leaders who model the way. Our collaborators have established trust with each other and often turn to their peers for suggestions on how to approach issues at their home institution. NCURA also exemplifies reciprocity with various training opportunities and mechanisms for exchanges of ideas. Attendance at the regional and annual NCURA meetings attests to the value we place upon face-to-face interactions in today's virtual workplace.

In summary, allow yourself to reflect upon the competencies we've discussed and look for ways that you can enable others to act that will improve your chances for significant results. For example, managers can create a climate of trust with their fellow employees by encouraging them to work on special projects that will enable them to learn and grow. Interdependence can be accomplished during proposal and financial reporting deadlines by sharing a common set of goals. Lastly, foster collaboration by phoning rather than relying on email. Face to face or verbal interaction is still the most effective means of communication.

Chris Green and Tammy Raccio are alumnae of the Leadership Development Institute. Tammy serves as Audit Manager, Yale University and Chris Green serves as Associate Director, Office of Sponsored Programs, University of Texas Health Science Center at San Antonio.



Has the Background Check Become a Mainstream Compliance Issue?

On August 30, 2007, twenty-eight Jet Propulsion Laboratory (JPL) scientists and engineers sued the National Aeronautics and Space Administration (NASA), the US Department of Commerce and the California Institute of Technology, which manages JPL for NASA. The suit challenges federally-required background checks instituted after the September 11 terror attacks. According to the lawsuit, the Commerce Department and NASA require employees and contractors to permit sweeping background checks that include medical, financial and past employment records in order to qualify for credentials. Refusal to submit would mean the loss of their jobs. The requirements apply to everyone from janitors to visiting professors. The suit claims violation of protections against unreasonable search and seizure guaranteed in the 4th and 14th amendments to the U.S. Constitution, and an invasion of the right to privacy, the Administrative Procedure Act, the Privacy Act, and, because of the location of the lab, rights under the California Constitution.

Background checks are the new buzzword or latest layer of protection federal agencies have put in place to regulate access to information or federal infrastructure, including labs and data. These background checks for federal employees as well as contractor and grantee employees and students have expanded without regard to nationality or citizenship status. This is not the traditional clearance for access to classified information or facilities that invokes romantic or not-so-romantic notions of spies and double agents. These background checks assess security risks in the new environment of terrorism and national security threats. Since 2001, the number and range of federal statutes designed to address safety and security issues have expanded rapidly. The list is familiar to the research community: U.S. Department of Agriculture and Centers for Disease Control Select Agent regulations; the Federal Information Security Management Act of 2002 (FISMA), the Department of Homeland Security's HSPD-7, Critical Infrastructure Identification, Prioritization and Protection regulations and the recently enacted Chemical Facilities Anti-Terrorism Standards.

As agencies respond to various federal statutory requirements, each takes a different approach to meeting the requirements. You will recall NSF's 2004 implementation of the Cyber Security Research and Development Act (P.L. 107-305), calling for screening of foreign employees and students to identify threats to safety or national security of the U.S. NASA's 2006 implementation of the Federal Information Security Management Act (FISMA) led to broadening of background checks for individuals and organizations developing databases for NASA. Most recently, the Nuclear Regulatory Commission (NRC) has announced its intent to require fingerprinting and FBI identification and criminal history records check for individuals having unescorted access to radioactive materials like those in research irradiators.

There is no indication that these types of personnel restrictions, in return for access to information and resources, are going to ease in the near future. On the contrary, debates over immigration related issues will resume in September, and the question of background checks will be a part of that debate. Revised Chemical Facilities Anti-Terrorism Standards from the Department of Homeland Security will become a part of the discussion. The US Agency for International Development (USAID) recently withdrew a planned "Partners Vetting System" that called for conducting background checks of all the officers, members of the authority board, and operation staff members for applicant organizations. But, USAID hasn't abandoned the idea. It simultaneously announced a "pilot" of the vetting system in programs conducted in the West Bank and Gaza Strip, hoping to avoid funding terrorists and terrorist organizations.

The challenges that these and related regulations pose is not entirely new. Nor is the impulse to identify threats to security and safety an inappropriate role for the federal government. In recent years, research administrators have been struggling with the management of enhanced interpretations of the export control regulations, a kind of access control through the requirement of a license. The export control regulations apply to the transfer of specific items and information and services to persons and entities outside the U.S. or the disclosure of information or provision of services to a defined set of foreign nationals inside the U.S. But the countries of concern are relatively specific, the list of technologies—while long and ill-defined—is available. While the rules are burdensome and not always clear in their application, the processes are generally obvious.

These new statutes and their implementing regulations know no national boundaries, are often implemented quickly and quietly, appear as flow-downs in sub-agreements from industrial prime awardees, and generally come as a surprise to the university and its investigators. As the research regulatory environment becomes more complex, the list of offices and departments that play an important role in ensuring the successful implementation and completion of a research project gets longer. Research administrators have always needed a friend in human resources to help with internal personnel issues, but as the regulations governing employment on sponsored projects become more complex, assistance from the office of human resources will become increasingly important.

The first line of defense lies in the research and sponsored programs office. Knowing that the various clauses may be a part of an award is critical to planning for the hiring of the employees who may serve on that award. If it's a new hire, the fact that a background check will occur may need to be included in the job announcement. Requiring a background check of current employees, particularly those whose employment may be governed by a union contract, state civil service law or formal university personnel policy, may require the re-assignment of an employee who either doesn't pass the check or refuses to undergo a background check at all.

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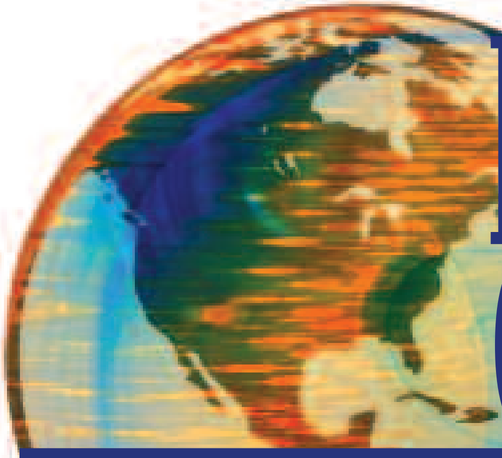


REGIONAL CORNER

What's happening in YOUR Region?

REGION I ◗ New England

http://web.mit.edu/osp/www/ncura

Welcome back. I hope everyone had a great summer.

We have two exciting RADG's scheduled for later this year. First, on November 29th, David Kennedy, Council on Governmental Relations, and Gary Talesnik, Bearing Point, will provide a federal update. On December 11th, Marcia Hahn from NIH will be presenting. Both RADG's will be held at the John Hancock Conference Center in Boston. Registration will be available soon at our website.

Our Regional Spring Meeting will be held at the Ocean Edge Resort in Brewster, Cape Cod on May 6-9, 2008. I want to thank Lee Picard from Brandeis University and Tim Connors from Dana-Farber Cancer Institute for their hard work in selecting the site. I think everyone will be happy with the location. More information to follow.

The NCURA 49th Annual Meeting is scheduled for November 4-7, 2007 in Washington DC. I hope many of you get the opportunity to attend. There will be a call for volunteers from the Region to assist with activities during the meeting. I hope many of you will help out. If you have any questions about volunteering for the meeting or volunteering for other Regional activities, please contact Sally Tremaine at sally.tremaine@quinnipiac.edu.

As is our custom, the region will be offering Travel Awards which will allow three recipients to attend the NCURA Annual Meeting. Awardees will receive up to $1,500 toward expenses associated with attending the meeting. For further information, please visit our website or contact Stacy Riseman at stacy.riseman@olin.edu.

As many of you know, our Region recently re-instituted a one-day Fundamentals of Research Administration. The first was a smashing success, selling out in 16 hours. Another was held on September 11, 2007 at the University of Connecticut and was also very successful. Other possible locations include Boston in October and New Haven, CT in December or January. An announcement to the Region will be e-mailed when other dates and sites become finalized.

I look forward to seeing each of you at our Fall/Winter events.

Gary Smith is the Chair of 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

www.ncuraregionii.org

Greetings, Region II.

I hope you all had a good summer and have made a smooth transition into the Fall. During this time before the National Organization's Annual Meeting in November, the Nominating and Membership Development Committee will have been working on the elections for new officers. The positions to be filled in 2008
are Chair-Elect, Treasurer-Elect and Secretary. The description of these positions can be found in the Region II by-laws at: http://ncuraregionii.org/about.html. Please participate in the election by nominating candidates and making sure to vote in the election.

The Officers attended a Leadership Convention in September to do additional work on the Region II Strategic Plan and to learn about initiatives from the national leadership. It was a very productive meeting last year and a wonderful opportunity for an exchange of ideas with officers from other Regions. The officers of the Region will report on the results of their work on the strategic plan at the Region II business meeting in November.

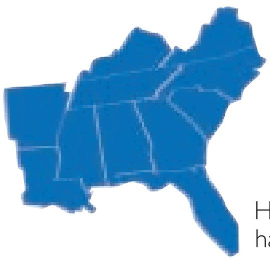
The program committee is also gearing up to select the theme and draft the program content for the 2008 Spring Meeting to be held at the Hilton Pittsburgh from April 27-29, 2008. If you have ideas for a session, a workshop or would like to help with the planning for the meeting, please contact me or any of the Region II officers.

The participation of volunteers is what makes NCURA work and Mary Louise Healy, Region II Chair-Elect has put together an ambitious Volunteer Action Plan to enhance the efforts of the current member volunteers to recruit new volunteers and to enhance the volunteer experience. The plan includes developing a Volunteer Committee; providing the membership with information on the types of volunteer opportunities (including a description of the associated duties and time commitment); welcoming new members; organizing member events at other national meetings such as PRA and FRA; and establishing a Volunteer Spotlight on the regional website. I hope you will watch for these initiatives and become involved. If you want more information or would like to volunteer, feel free to contact Mary Louise at mhealy@towson.edu.

Remember to take advantage of the opportunities to meet and greet your fellow Region II members at the Annual Meeting in November. Be sure to attend the Regional Business Meeting scheduled for Tuesday, November 6 at 1:25 pm. As mentioned previously, the officers will be reporting on the leadership convention, giving committee reports and providing advance information on the Spring Meeting in Pittsburgh, PA. And, as always, the hospitality suite is a good place to visit with other members in the Region.

We are looking forward to seeing you at the Annual Meeting in November!

Ruth Tallman is Chair of Region II and serves as Associate Director and Compliance Officer, Lehigh University.



REGION III ◗ Southeast

www.ncuraregioniii.org

Hello and welcome back, we hope everyone has had a great summer, one filled with lots of sunshine. Speaking of sunshine, Region III has the largest membership of all the NCURA regions. Let's keep our membership shining brightly into the new year by sharing with our co-workers all the wonderful resources offered by NCURA to its region members.

We would like to congratulate all of our new committee chairs and team members and thank them for volunteering their time and support to our Region:

- Dawn Boatman, University of North Florida, Chair of Membership & Awards
- Debbie Smith, University of Tennessee Health Science Center, Chair of Nominations and Elections
- LaJauna Guillory, Georgia Institute of Technology, Hospitality Chair
- Rebecca Puig, University of South Florida, webmaster
- Alexia Lewis, University of North Florida, Volunteer Coordinator.

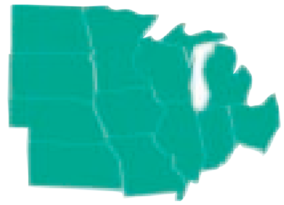
Be sure to mark your calendars for NCURA's 49th Annual Meeting coming up November 4 -7, 2007 in Washington, DC. Take a moment to review the preliminary program to see the exciting things they have in store for you.

In addition to the wonderful resources NCURA provides for you through the Neighborhoods, the NCURA newsletter, and of course the conferences, broadcasts, ILS, webcasts and workshops, the Region III website is an excellent resource for Region III news and updates.

Of course, opportunities abound for volunteering during the NCURA National and Region III Spring Meetings. There are positions available in the following areas: presenting/co-presenting, concurrent sessions, facilitating/moderating discussion groups, greeting arriving attendees at the registration desk, keeping things running smoothly at the hospitality suite, and ensuring AV/technical equipment and handouts are ready prior to program sessions. If you are interested in volunteering, please contact Alexia Lewis at alexia.lewis@unf.edu. Send an e-mail and let her know if there is an area that you would be interested in volunteering and your availability.

Remember - your membership in NCURA is what you make of it!

Lori Brown and Rebecca Puig are Region III's Newsletter Team. Lori serves as the Proposal Specialist at University of Central Florida and Rebecca serves as Director of Research Resources, Office of Research, University of South Florida.



REGION IV ◗ Mid-America

www.ncuraregioniv.com

The Region IV Board met in Chicago this summer. We are extremely excited about the Annual Meeting this November which is comprised of a magnitude of sessions and workshops that are sure to inspire. So, please be sure to check out the preliminary program that was recently released.

The Board has created several networking opportunities for Region IV members to connect with each other. We will be offering two tours of the monuments on Saturday and Sunday, a Monday night dinner group for our region, and the BEST hospitality suite (where all are welcome). Please also plan on attending the business meeting on Tuesday to hear about your Region's operations. Our membership committee will send an e-mail to you with more detailed information.

Here is an updated list of the Board and Committee Chairs:

- Sara Streich, Chair
- Sue Keehn, Chair Elect and Program Committee Chair
- Diane Barrett, Past-Chair and Nominations Committee Chair
- Robert Aull, Treasurer
- Michelle Meeks, Secretary
- Bob Andresen, Member-at-Large and National Finance Committee
- Diane Meyer, Member-at-Large
- Craig Reynolds, Member-at-Large and Site Selection Chair
- Jaynee Tolle, Member-at-Large
- Christa Johnson, Board Member
- David Ngo, Awards Committee Chair
- Ann Smith, Membership Committee Chair
- Karen Spear, Communication Committee Chair
- Beth Seaton, Professional Development Committee
- Jim Casey, Regionally Elected Representative to the National Board
- David Lynch, Nominating & Leadership Development Committee

If you are new to NCURA and this is your first meeting, we invite you to join us at the New Members Orientation on either Saturday or Sunday. Each Region has a color-coded badge. Region IV's color is green.

Take a look at the names in the above list or, better yet, print this list. Several of us will be at each of the events so please don't hesitate to introduce yourself. If you can't find one of us, stop anyone wearing a green badge and they should be able to help. Let us know if you want to get involved for an hour at the registration desk, as a committee member, or as a presenter.

We truly have a great region with exceptional members, and I look forward to meeting everyone at the National meeting.

Sara Streich is Chair of Region IV and serves as the Associate Director of the Lurie Comprehensive Cancer Center of Northwestern University.

continued on next page ➤

Regional Corner

REGION V ◗ Southwestern

www.ncuraregionv.com

As all of you know the Annual Meeting is right around the corner. If you have not made your hotel reservations you might do that now, the rooms are filling up!

Our next Spring meeting will be held in Oklahoma City at the Renaissance in May 2007. We are next to Bricktown and just a few blocks away from the Oklahoma City National Memorial. Kay Ellis is in charge of the meeting and I know it will be a fantastic program. If you are interested in presenting, being a moderator or volunteering for this meeting please contact Kay at kay.ellis@okstate.edu to get on the program.

By the time you are reading this the officers of Region V will have attended the Leadership Conference near Richmond, Virginia in September 2007. I'm sure it will be a wonderful program and from the meeting the Region V Executive Committee will be finishing the strategic plan for our region in conjunction with the National Office.

We now have a Volunteer Coordinator for Region V. Dr. Charles Patterson of Baylor University has filled this position. If you would like to volunteer to help out at the Annual Meeting please let Charles know what you are interested in doing.

I would like to remind all of you to make time while you are in Washington to come by the Region V Hospitality Suite. This is a good place to meet up with old friends and make new ones.

I look forward to seeing all of you at the Annual Meeting.

W. Scott Erwin, Sr. is the Chair of Region V and serves as Director of Sponsored Programs at Texas State University – San Marcos.

REGION VI ◗ Western

www.ogrd.wsu.edu/r6ncura

Time flies when you are having fun! It seems like just yesterday that I had to write my first Regional Corner article and now the year is almost over! The NCURA Annual Meeting is just around the corner and I hope that everyone has hotel reservations. I look forward to seeing old friends and welcoming new members to this wonderful organization.

As NCURA looks for ways to increase volunteerism and member involvement please be sure to watch for the "Call for Volunteers". Please help mentor a new member or volunteer at the registration desk! I'm asking all senior members out there to please be sure to attend the New Member Orientation on Sunday, November 4th from 3:00-4:00pm or volunteer to host a table at the New Member Breakfast on Tuesday, November 6 at 7:30. As always, Regions VI/VII will be co-hosting a hospitality suite at the meeting – be sure to watch for the room number and hours of operation, as we get closer to November. This is a great place to renew old friendships and meet new members!

I'd like to thank the Regional Nominating Committee (Joyce Freedman, University of California-San Francisco; Terry Manns, California State University-Sacramento; and Sue Camber, University of Washington) for working hard to fill our slate of candidates for our Regional elections. By the time you are reading this we should be in the middle of casting our votes. Be sure to VOTE! I'd like to thank our candidates for stepping up to the plate and volunteering to run.

This year Region VI has offered three travel awards for $750 to the National Meeting. I hope that some of our new members took advantage of the call for nominations. We will all get to meet our award winners at the Regional Business Meeting, Tuesday, November 6, 2007 from 1:25-2:25.

Other awards that I'd like to remind our members to start thinking about are the Distinguished Service Award (renamed this year as the Helen Carrier Distinguished Service Award), the Barry Dorfman Outstanding New Professional Award, and the Award for Meritorious Contribution.

Members of Region VI are invited to submit nominations for any or all of these programs on-line at least 120 days before the 2008 Regional meeting. Descriptions of the three awards and eligibility criteria for each of them are posted on the regional website at: http://www.ogrd.wsu.edu/r6ncura/awardapp.aspx. Please note that the Helen Carrier Distinguished Service Award and the Barry Dorfman Outstanding New Professional Award are for individuals whereas either individuals or groups can be nominated for the Meritorious Contribution award. Individuals may nominate themselves or others.

Nominations must be completed via the on-line NCURA Region VI nomination form (http://www.ogrd.wsu.edu/r6ncura/awardapp.aspx). They should be accompanied by endorsements as specified in the criteria for each of the awards. Letters can be uploaded on-line.

It's never too early to plan ahead - don't forget to budget for our upcoming Region VI/VII Spring meeting to be held at the Hilton Portland and Executive Tower, April 27-30, 2008. Winnie Ennenga from Northern Arizona University is busy at work on the program. Check the Region VI or VII websites for updates and watch for email blasts on how you can volunteer.

I look forward to seeing you all soon in Washington, DC.

Aloha!

Georgette Sakumoto is the Chair of Region VI and serves as Administrative Officer, Office of Research Services, University of Hawaii.

REGION VII ◗ Rocky Mountain

ncuraregionvii.unm.edu

Hello Region VII Members,

Once again it is time for our regional elections! This year in addition to seeking nominations for Secretary-Treasurer and Member-at-Large there is a proposed change to our bylaws. We hope you will consider running for one of these positions yourself, or encouraging another member to accept a nomination. We have established a nomination and review period ending September 20, 2007 after which balloting will open. Contact Region VII Election Chair Debra Murphy with questions via e-mail to debra.murphy!@asu.edu or telephone to 480-965-2179. Deb writes that she hopes to have "many people interested in running, for it is you, our members that continue to participate and make our region successful!" Thanks for your work organizing the elections, Deb!

One of the important goals we set last spring was to revise our bylaws to create a new position of Chair Elect, in part to align our bylaws more closely with those of other regions, and also because this change will provide one-year for the Chair Elect to learn more about the roles and responsibilities of the Chair before assuming that position the following year. If the revised bylaws are approved, we hope to open nominations and complete the balloting in time to allow the Chair Elect to assume his/her new position January 1, 2008. Special thanks to Dianne Horrocks for her review and redrafting of the bylaws, and to Denise Wallen and Josie Jimenez for their editorial suggestions!

If you've never attended an NCURA national meeting, the Region VII travel award may be just the opportunity for which you've been waiting. Region VII will provide up to two $750 awards to offset travel costs to attend the National Meeting. This is a great opportunity to get someone to that meeting who may not otherwise be able to attend. Criteria for nomination to receive the award are published on the Region VII website, http://ncuraregionvii.unm.edu/. Take advantage of this opportunity for yourself or a colleague to attend the finest professional development available in our industry!

The Region VI/VII Program Planning Website for the spring meeting in Portland, OR, April 27-30, 2008 is online! http://www.ogrd.wsu.edu/r6ncura/regional_meetings.asp

Winnie Ennenga is the Chair of Region VII and serves as Director of Grant and Contract Services, Northern Arizona University.

MILESTONES

Have you or any of your colleagues made a career move? Please contact NCURA so our entire membership can help celebrate the change!

On July 23,2007 ALEXANDRA MCKEOWN began as the Associate Dean for Research Administration at Johns Hopkins Bloomberg School of Public Health. She previously served as the Assistant Vice President for Research Administration and Advancement at the University of Maryland.

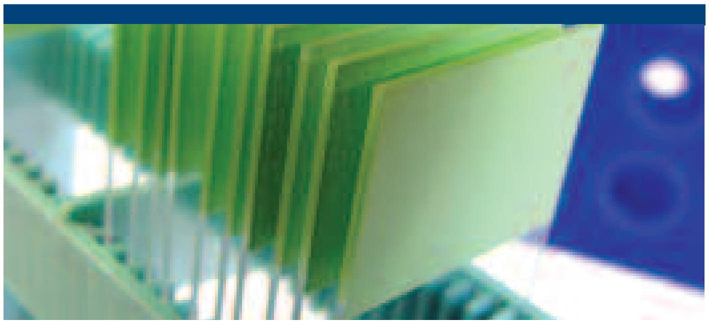
MARIANNE WOODS, formerly of The University of Alabama at Birmingham, has just been named Associate Vice President for Research at The University of Texas at San Antonio

In August TAMARA HILL joined the University of Louisville as the Assistant Manager, Sponsored Programs Financial Administration. She was formerly at the University of Cincinnati.

On September 1, 2007, TOM WILSON began as Assistant Vice President/Senior Research Administrator at Rush University Medical Center in Chicago. Tom had previously served at the Beckman Research Institute of the City of Hope.

CONGRATULATIONS!

BIOMEDcorner



Time to Buy Your Own Lunch?

By Joyce Freedman

Have you ever taken a pen from a vendor at a conference, or maybe one of those cute little am/fm radios with the vendor's name emblazoned all over it? What about going to a reception or a luncheon that is supported or sponsored by a software firm with which you are considering doing business at your institution? Would you consider those actions to be troublesome? Or, will they create undue influence on how you conduct business at your institution? I personally have a coffee cup on my desk with a vendor's logo prominently displayed. It holds a half a dozen or so pens, each advertising a different company. I think nothing of grabbing one or two goodies as I pass by a vendor's table at a conference. And I would imagine that none of you would think ill or evil of it either.

Many professional societies rely heavily upon industry sponsorship for covering the costs of meetings and conferences. We see vendors' tables set up all over conference sites and thank the vendors for this lunch or that dinner or reception. But this might be a relic of the past; attitudes might be changing on this type of sponsorship. A whole set of new standards and guidelines may soon be coming to your institution, especially if you work at a medical school or medical center. The new guidelines call for a complete abstinence from accepting any gifts, no matter how small, from vendors and sponsors. Is this the beginning of a changing relationship with vendors for academic institutions? What is causing this sea change?

For decades the relationship with the pharmaceutical industry and the physician has been a close one. It is common practice for "pharma" to provide lunch, travel, accommodations and gifts to doctors and medical students in exchange for the doctor using the company's devices and prescribing their drugs. Students are influenced by this behavior and carry these relationships into the future. Most doctors will attend company-sponsored events that provide continuing medical education; yet, evidence shows that these "continuing education" occasions are really opportunities for sponsors to highlight their drugs or devices.

Ray Moynihan, to whom I owe heavily for this article, is a journalist who wrote a two part series on the relationship between doctors and drug companies in BMJ. Moynihan found evidence to show that financial conflicts of interest are "pervasive and problematic" in biomedical research. He claims that approximately one quarter of university researchers receive funding from industry and one third of those have some type of personal financial ties to their sponsors. The concern, states Moynihan, is that evidence-based healthcare is being fundamentally distorted.

In an article published in the New Republic, Arnold Relman, a professor at Harvard and a former editor of the New England Journal of Medicine, is quoted as saying "The medical profession is being bought by the pharmaceutical industry, not only in terms of the practice of medicine, but also in terms of teaching and research. The academic institutions of this country are allowing themselves to be the paid agents of the pharmaceutical industry."

Across the United States, drug companies sponsor close to 300,000 events for doctors every year as part of their promotional efforts, many of them far more generous than free lunches. Under the pharmaceutical industry's own ethics guidelines, a company could fly 300 doctors to a golf resort, reimburse them for their costs, pay them to attend, educate them about the company's latest drug and train them to become members of the company's pool of paid speakers. Under the pharmaceutical industry's code of conduct, the resort trip would be in compliance, but in the near future, physicians at academic medical centers and medical schools might not be among the participants. The once routine wining and dining from the pharmaceutical industry may also become a concern for the physician due to anti-kickback laws. The tide is turning on what is acceptable practice on the receiving end.

Recently, institutions such as Yale, Stanford, and University of California-Davis have instituted strict guidelines for their medical schools. Yale instituted a complete ban on the acceptance of all gifts. They do not allow industry-sponsored meals or free samples of medications for Yale physicians or their family members. In addition, all Yale medical faculty members are required to complete a disclosure of all financial interests in the pharmaceutical companies that sponsor their research.

The University of California-San Francisco, which already has one of the nation's strictest regulations regarding financial conflicts of interest for faculty conducting industry-sponsored clinical trials, has formed an advisory committee to review the relationship of doctors and students with pharmaceutical vendors. The initial report from the committee indicated five areas of concern in which they thought stricter guidelines were in order: acceptance of gifts; food provided for general conferences; samples for patients (other than samples undergoing evaluations); travel and lodging required for training on the use of equipment; and, the distribution of patient information documents provided by sponsors.

Mary-Margaret Chren, an associate professor at University of California-San Francisco who works at the area's Veteran's Administration maintains that medicine should move in line with other professions. Dr. Chren claims that our system of government would never tolerate judges taking money from those they judge. Yet for some reason the same standards do not apply in medicine, and doctors seem to have complete freedom to conduct business in potentially compromising relationships.

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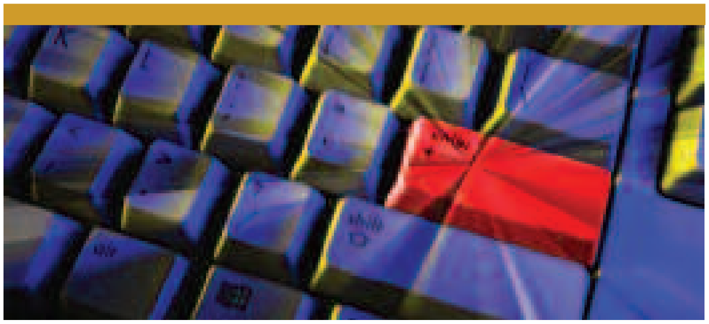


Just When You Thought It Was Safe To Get On With Business – Here Comes FFATA

By Bob Beattie

As research administrators, we were able to apply A-21 cost accounting principles to universities. Then we learned to manage HIPAA data issues, worked through ITAR, and even got a "handle" on Grants.gov. Now, just when we thought we could coast for a while, we find a new act rearing its potentially ugly head – the Federal Funding Accountability and Transparency Act – FFATA.*

WHAT IS FFATA?

FFATA was enacted in September, 2006, with the purpose of providing a free, web-based public database which will allow anyone to see who gets the annual federal expenditure of $460 billion in grants, $360 billion in contracts, and some $200 billion in loans. The law says that the data should include all transactions, including grants, loans, awards, cooperative agreements, other forms of financial assistance, contracts, purchase orders, task orders, and delivery orders greater than $25,000 and executed on or after October 1, 2006 with organizations. Users will be able to search and download results based on the following data elements as stated in the law:

1. the name of the entity receiving the award;
2. the amount of the award;
3. information on the award including transaction type, funding agency, the North American Industry Classification System code or Catalog of Federal Domestic Assistance number (where applicable), program source, and an award title descriptive of the purpose of each funding action;
4. the location of the entity receiving the award and the
5. primary location of performance under the award, including the city, State, congressional district, and country;
6. a unique identifier of the entity receiving the award and of the parent entity of the recipient, should the entity be owned by another entity; and
7. any other relevant information specified by the Office of Management and Budget.

The Office of Management and Budget (OMB) will be responsible for implementing the database, but the source of the information will be the agencies themselves. The general idea is that the public should be able to ascertain the amount of federal funding awarded to an entity and so be able to add up how much went to any state or other locale. How will this be done? David Frackelton, Director of Market Intelligence for Cayuse, Inc., describes the process nicely on the Grantopedia Blog. He writes, "The Federal agencies will connect their back office systems to a big public searchable database. This means that all of the information will be coming from agency systems. Some information, however, will originate with your applications to Grants.gov." The data will be available to the public starting January 1, 2008 covering awards made since October 1, 2007.

THE ACT'S IMPACT ON ERA: CHANGES TO FORMS

Federal agencies will push their own data into the public database, but we do need to ensure the reliability of the information. While it seems that only vigilance is needed by most university folks, there is a big aggravation for those using or developing System to System (S2S) solutions for Grants.gov. There might be additional work for those using Grants.gov forms as well.

I have heard government officials off-handedly remark that there will need to be some new fields in the SF-424. For those in the paper application generation, this is no big deal. Just redesign the form, add some new spaces, and print it. Those of us who have joined the electronic application generation know that is not the case. For the S2S developers, this is not a simple fix. Even for the most minor change, code needs to be rewritten, tested and deployed, and users need to be trained on the changes.

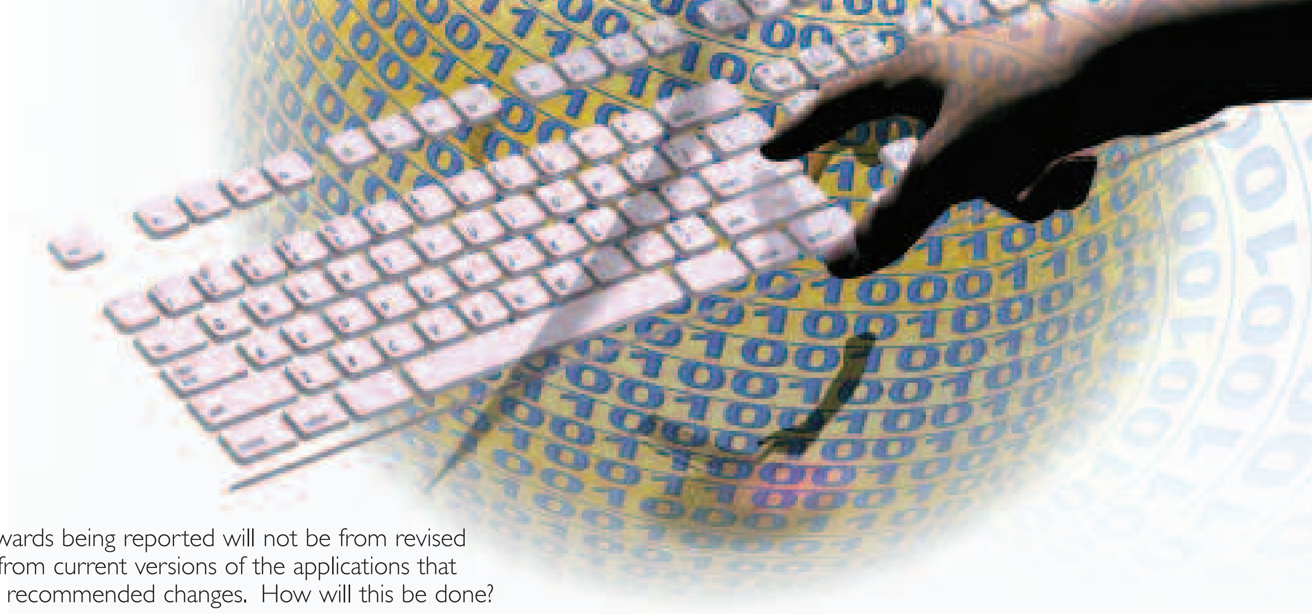
> How much time will there be between when the Grants.gov changes are known and when they will go into effect?

After the FFATA webcast in June, David Frackelton posed these very questions. The reply was that there would be changes but uncertainty as to when. The reply further pointed out that:

For the applicant community, this means that the base forms will change. These changes have a wide variety of implications for the System-to-System developer community, as we will need to release changes to the software to accommodate the new forms (what S2Sers would describe as "new XML schema" for the SF-424RR.)

At the September 2007 Federal Demonstration Project (FDP) meeting, a representative from the SF-424 Forms Families & FFATA Implementation Subcommittee gave a very nice update of the forms changes the subcommittee has recommended. Because these changes are on Grants.gov forms, that agency will need to prepare a notice in the Federal Register in concert with OMB. The notice would go out by November or December. The major recommendation is that form sets other than the SF424R&R would have a Performance Site form added, and all such forms would include the DUNS number of the site and the Congressional District. The law requires information on ONLY the primary performance site, not all performance sites.

Some have mentioned a problem with the approach of the SF-424 Forms Families & FFATA Implementation Subcommittee, which they argue focuses on obtaining the required information at the proposal stage. Many more proposals are submitted than are accepted. There are often changes between what is proposed and what is eventually funded. Perhaps any new data needed for FFATA could be collected at the award stage, not at the proposal stage. Moreover, during the first year of implementation, for the



most part, the awards being reported will not be from revised applications but from current versions of the applications that did not have the recommended changes. How will this be done?

SUB-AWARDS AND OTHER "SUB-SPENDING" REQUIREMENTS

While there is potential extra work for the S2S developers and changes for the forms used in the first stage of the FFATA implementation, the biggest concern for all central grants and financial administrators is the second part of the law that deals with sub-awards. Universities must report to the same federal spending database website where their "sub-spending" goes. This aspect of the law takes effect January 1, 2009.

The second part of FFATA states that all sub-awards are to be disclosed in the same manner as data regarding the federal awards, with the same data items as required by the first part of the law. There is supposed to be minimal burden on the entities doing the reporting. Direct award recipients and subaward recipients can allocate reasonable costs for the collection and reporting of subaward data as indirect costs (if you are not already at the cap, I suppose). The sub-transactions must be reported to the public database within 30 days.

In her presentation on FFATA to the FDP meeting in May, Charisse Carney-Nunes, Senior Staff Associate to Chair of the Grants Policy Committee of The U.S. CFO Council, made some useful points on this second part:

- Review your subawardee reporting mechanisms. Federal agencies will be relying on YOU to provide requisite data. This will be a condition of your award.
- Be prepared for heightened public scrutiny of your dealings with the federal government relating to grants, contracts, and cooperative agreements.

So, as Tom Cooley, Co-Chair, Grants Committee of the FFATA Task Force and NSF CFO, said at the June webcast, "GET YOUR HOUSE IN ORDER!"

> Will universities be required to report on ALL the same transactions as noted above, not just subcontracts or subawards?

Some questions are not yet resolved that will have important impact. Does this include purchase orders? Will payments to consultants be included? Is the $25,000 limit a yearly amount or the total paid to any one recipient? The biggest issue is how far down must the federal awardee keep track of further awards. How many "tiers" are included? Will we need to record every subsequent transaction involving the funds, or do we need only report the first such action, and then our recipients will report on the next tier?

On September 6, the Federal Register published a final rule for how contract recipients will be reporting for the contract pilot:

> This rule applies to contracts with values equal to or greater than $500 million awarded and performed in the United States, and requires the awardees to report all first tier subcontract awards exceeding $1 million.

Not very relevant to universities, it seems.

WHAT YOU CAN DO

OMB is required to initiate an 18-month pilot program, beginning in July 2007, to test the collection and reporting of subawardee information. Based on the findings, OMB will then begin incorporating the collected information into the federal spending database by January 2009. If you want to be in the pilot, write to Barbara.Dorf@hud.gov.

There will be a Federal Register call for comments on all forms changes soon. If you want to make a comment on any of the processes and not wait for the Federal Register call for comments, you can do so at http://www.federalspending.gov/comments/comments.do.

You could comment if you think data are better collected at the award stage and not at the proposal stage. Then Grants.gov will not be impacted. That can also be addressed in comments to the Federal Register request. You might also consider mentioning that the law requires that the agency database track information on only the primary performance site, not all sites. You might, as well, comment on the problems of tracking subawards beyond the first tier. There were only 17 comments to the original request related to the contract recipients I noted above. The grants situation will have a big impact on us, so I hope there will be a good number of us responding to that topic to help the agencies plan their future activities regarding FFATA.

Please feel free contact me if you have any comments or questions on this topic.

Bob Beattie is Managing Senior Project Representative in the Division of Research Development and Administration at the University of Michigan, Ann Arbor. Bob can be reached at beattie@umich.edu

References

HIPAA refers to Health Insurance Portability and Accountability Act of 1996

ITAR refers to the International Traffic in Arms Regulations

* *Wikipedia gives much detail about how FFATA was passed in the Congress. http://en.wikipedia.org/wiki/Federal_Funding_Accountability_and_Transparency_Act_of_2006*

Separate or Combined Pre- and Post-Award Offices—What is a Research Administrator to do?

By Patricia Hawk and David Richardson

If "Is it on-campus or off-campus?" is the most frequently asked question in research administration, perhaps the second most frequently asked question is "Which is better—separate or combined pre- and post-award offices?

To help give some perspective to this question, let's talk to Dave Richardson. Dave went from heading up a combined pre- and post-award office at Virginia Tech to heading up a pre-award office at The Pennsylvania State University.

PAT: Dave, what do you think are the benefits of a combined pre- and post-award office?

DAVE: The obvious benefit is that having all of the services under one roof allows for the pre- and post-award staff to quickly conference in person to review and resolve concerns. It is harder to avoid solving a problem when it is presented to you in person. While there will always be a division among the pre-award and post-award services given the nature of the work, having the services within eyesight of each other additionally lends itself to a easier appreciation of the functions of each office.

PAT: What do you think are the "down-sides" of a combined pre- and post-award office?

DAVE: The downside to a unified command is centered on the potential for a lack of a check and balance. With a combined model there is real concern that negotiations of contract terms relating to financial risk may fall prey to the pressure to execute the contract and thus fail take into account the full complement of compliance requirements. As a director of a combined operation you must always remain cognizant of this potential risk and strive to ensure that your institution remains in compliance.

PAT: Now, let's go the other way—what are the benefits of a separate pre- and post-award office?

DAVE: The single greatest benefit of having separate offices is that the offices maintain focused missions. A separate pre-award office can focus exclusively on negotiating the terms and conditions while a separate post-award office can focus on financial compliance and revenue management. With separate reporting lines, the two mutually exclusive offices do not fall prey to bias to execute awards to the detriment of the institution.

PAT: How about the "down-sides" of a separate pre- and post-award office?

DAVE: The downside is that separated offices may become so focused on their individual missions that they fail to remain flexible to accommodate the exceptions that seem to frequent the field of sponsored research. The pre-award staff may not take into account the need for the invoicing requirements to remain uniform to achieve efficiency while the post-award staff may fail to take an exception to a unique circumstance.

PAT: Now that I'm in a separate pre- and post-award office model, I really understand how critical it is to make sure our website information doesn't conflict with what our post-award colleagues have posted on their website. We always make sure changes are "vetted" with our post-award colleagues to ensure there are no conflicts and that our post-award colleagues are in agreement with language that affects post-award actions, such as cost sharing. How did you handle website information at Virginia Tech?

DAVE: Your question makes an excellent point in that while the operations of the pre- and post-award may have separate reporting lines, there remains the fundamental need to retain consistency in policies and practices between the offices. Many times our common clients of faculty and sponsors neither know nor care whose pre or post-award as long as they receive a consistent answer. Furthermore, the consistency is not only mandatory for compliance with federal guidelines but is becoming increasingly more important as we see more and more contracts from industrial sponsors. As for Virginia Tech, we relied upon a committee that had both pre- and post-award representation to review and approve web content.

PAT: How important is communication in either of these models?

DAVE: Neither model will reach its greatest potential without the presence of effective communication. Having offices combined should in theory bias one's belief that a combined office would be more communicative. However, with modern day communications there is no real excuse for separate offices in failing to communicate with each other regardless of proximity or reporting lines.

PAT: Dave, I couldn't agree more. Communication is vital in everything we do. I currently work in a separate pre- and post-award model at Oregon State University, and what you've said really resonates with me. Even though the pre- and post-award offices report to different Vice Presidents, we are very fortunate to be in offices right next door to each other. Such a simple thing as being close in proximity—who knew it would make such a big difference! In addition to being able to "run around the corner" to talk about an issue, we have weekly meetings so that we can keep our two offices current on what's happening in the world of grants at OSU.

One very simple example of how we keep each other informed is when a faculty member transfers to another institution. Sometimes our pre-award staff hears about it first, and sometimes our post-award staff hears about it first. If a faculty member has existing awards, they most likely have existing proposals as well. Both awards and proposals need to have some form of action taken to "close them out." It's really great to be able work on these as a team, especially since our faculty members see us as a team.

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Mentoring in Research Administration

by Marjorie Piechowski

Recently, I've noticed job announcements that list mentoring as one of the expected skills and responsibilities in research administration. One position description asks the candidate to "serve as a mentor to research administrators campus-wide" and another requires "strong leadership skills, including coaching, mentoring and staff development." Whether this is just coincidence or the start of a new trend, mentoring can be a valuable tool for research administrators at all career levels. In a field as complex and dynamic as ours, skills and knowledge are acquired through formal training. We also learn much of what we do on the job, sometimes through trial and error, but often from more experienced research administrators. Some of us who are long-time research administrators were fortunate to be mentored by the founders of the profession. Now, it is our turn to carry on that tradition for the next generation.

So, why should we add mentoring to already full job descriptions? Well, let's examine that question from a broad perspective that takes into account demographics. The Office of Employment Projections, Bureau of Labor Statistics, notes that the oldest baby boomers (born between 1946 and 1964) are beginning to retire, creating a need for younger workers to fill the vacated jobs. The need will be especially acute for jobs that require high levels of skill and knowledge such as research administration. It is important for our profession to assure that the next generation is proficient in necessary skills by the time our senior members begin leaving the work force in great numbers. Mentoring can be an effective strategy to achieve this goal.

National demographics affecting the field are important, but let's also look at the question of mentoring from a more localized, institutional perspective. As managers, we recognize the need to provide continuing education, workshops and conferences for our staff to develop new skills and stay current with the profession. What's involved in mentoring, however, is different. Patricia Battin, in *Diversity and Leadership: Mentoring Builds Leaders of the Future*, explains that difference. Battin writes that "mentorship represents an individual commitment to seeking out, identifying, and developing in a variety of ways the leaders of the future—people who have the creativity, the intellect, the conceptual skills, and the personal qualities necessary to provide true transformational leadership in the challenging, ever-changing, and fluid environment of contemporary higher education ." Others describe mentoring as "providing the scaffolding for effective career development and professional integration" and as "institutional regeneration."

NCURA already has committed to institutional mentoring and regeneration through its highly successful Leadership Development Institute (LDI). The LDI helps to identify and build future regional and national leaders through an intensive 10-month program in which selected participants are paired with advisors who, through regular engagement, provide the participants with one-on-one guidance and counsel. Such a program is crucial for maintaining a strong and diversified organization . LDI began in 2003 and is now in its fifth year, with a current class of 10 students from institutions such as Morgan State University, Clarian Methodist Hospital of Indiana, and the Johns Hopkins University Medical School. Since the program's inception, NCURA has graduated over 60 participants and has involved the same number of senior members as advisors. Almost half of the graduates have been promoted or have moved to higher positions at other institutions since completing the LDI. Over 80 percent are active in NCURA, as speakers, serving on regional and national committees, holding office, and writing for the newsletter. Eighty-five percent reported that LDI prepared them very well for leadership positions.

As is the case with the LDI, the benefits of individual mentoring can be very personal and provide meaningful benefits to both the mentor and the mentee. The mentor is enriched by seeing someone else grow and succeed and is stimulated by the creativity of issues and ideas generated by someone younger and newer. The mentee has a speedier adaptation to a new role or organization because the mentor offers access to information, introductions to key people, strategies for performing a job, formal and informal policies, procedures and agendas, and fewer chances of making organizational or career mistakes. My own mentors encouraged me to make the leap to a director's position where I had the opportunity to build a full research administration operation from a one-person office. The mentors answered questions, shared materials, and offered advice on staffing and office budgets, areas where I had no experience.

Being a mentor means urging others to develop their true potential, helping them to stretch, but being there to help them do it. There are many ways in which a mentor can do this: encouraging someone to apply for a new, challenging position, reviewing job letters and resumes, acting as a reference, and providing ongoing support and advice for the new job. A mentor can also include the mentee on panels and presentations, co-author professional articles, appoint the mentee to committees and task forces, and finally know when the mentee has arrived, and when it's time to let go.

Marjorie Piechowski serves as Senior Technical Grant Writer, College of Engineering & Applied Science, University of Wisconsin-Milwaukee

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Monroe, Kristen (2003), "APSA Task Force on Mentoring," PS: Political Science & Politics, (January 2003), pp. 93-96.

Wunsch, Marie A. (1994) Mentoring Revisited: Making an Impact on Individuals and Institutions. Jossey-Bass.

BIOMEDcorner

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In 2005, the American Medical Association (AMA) issued Opinion 8.061 "Gifts to Physicians from Industry" which was a reiteration of previously issued guidelines and opinions. The opening paragraph states that "there is a growing concern about certain gifts from industry to physicians. Some gifts that reflect customary practices of industry may not be consistent with the Principles of Medical Ethics." The AMA has produced seven guidelines to avoid the appearance of impropriety. The basic message from the AMA is that … "no gifts should be accepted if there are strings attached."

The Association of American Medical Colleges (AAMC) remarks that a significant conflict of interest can disqualify a researcher from conducting research, and they offer some guidance to those academic institutions seeking to redefine their relationships with sponsors. The AAMC calls for all sponsor and vendor relationships to be at a hands distance.

So what does all this mean? Are the academic medical schools, medical centers, and the medical associations trying to get ahead of the regulators? Has this system been so abused that it is time to retool and reconsider what the public perception must be? Personally, I think it is the beginning of a growing trend that will show up in other corners of academia – Engineers stay tuned.

Joyce Freedman is the Contributing Editor for the BioMed Corner. She serves as Assistant Vice Chancellor, Office of Research, University of California-San Francisco.

My thanks to:

1) Ray Moynihan (2003) BMJ, Helping doctors make better decisions, Who pays for the pizza? Redefining the relationships between doctors and drug companies. 1: Entanglement, 326, 1189-1192.

2) Ray Moynihan (2003) BMJ, Helping doctors make better decisions, Who pays for the pizza? Redefining the relationships between doctors and drug companies. 2: Disentanglement, 326, 1193-1196

3) Coleman, David et al. (2006) Academic Medicine, Guidelines for Interactions between Clinical Faculty and the Pharmaceutical Industry: One Medical School's Approach, 81(2), 154-60.

FRAcorner

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Another very simple example is language in research agreements. I know we don't want to accept language where the sponsoring agency wants copies of every receipt for each expense item. Those of us on the pre-award side of things need to make sure we don't accept terms that create a burden for our post-award colleagues.

Regardless of whether you're in a separate or combined pre- and post-award model, effective communication is vital. I believe our primary goal is to be of service to our faculty, so I think of the best ways to do that is to make sure our faculty everyone in the research enterprise as being there to help them.

Patricia Hawk is Assistant Director, Sponsored Programs & Research Compliance, at Oregon State University. David Richardson is Assistant Vice President For Research at The Pennsylvania State University.

Stating that a background check will be required in a job announcement isn't the end of the process. If not directed to submit materials to the sponsoring federal agency, the university must be in a position to determine the extent of the check needed to meet the requirement. Research administrators need to work with human resources and the university security or campus police–if campus security is conducting some part of the background check–to ensure that the background checks conducted meet the regulatory requirement.

The list of requirements–large and small–will continue to grow. The outcome of the JPL suit will take time, and during the interim the rules that are in effect will remain in effect. Research administration staff members need to remain vigilant for changes in award terms and conditions to help investigators prepare and plan for new access requirements at the time of application to ensure that project timelines and budgets reflect these time-consuming processes. Award agreements need to be reviewed carefully to look for changes in seemingly standard provisions that have been modified to call for reviews or checks before gaining access to information or facilities. You need to question the requirement to determine its applicability and how it is to be implemented on campus and by the federal agency. And you need to let your government relations staff or Washington-based associations know so we can monitor and, if appropriate, challenge the implementation of regulations that may go beyond the statutory requirements or work with the agencies to implement regulations that are streamlined and efficient.

In a recent interview in the Washington Post, a Maryland chicken farmer whose 9,000 gallons of propane used to heat his chicken houses brings his farm under the Homeland Security Chemical Facilities Anti-Terrorism Standards struggled to understand the threat he and his chickens posed to national security. He observed that terrorists who targeted his tanks in rural Maryland would not likely undermine the safety and security of the nation but they would get a lot of barbecued chicken. Some proposed rules need modifications.

Carol Blum is Director, Research Compliance and Administration, Council on Governmental Relations.

NCURANCURANCURANCURANCURANCURANCURA

NCURA AWARD RECIPIENTS ANNOUNCED

ROBERT KILLOREN, ASSOCIATE VICE PRESIDENT FOR RESEARCH AT THE OHIO STATE UNIVERSITY AND EXECUTIVE DIRECTOR, THE OHIO STATE UNIVERSITY RESEARCH FOUNDATION, IS THE FOURTEENTH RECIPIENT OF NCURA'S AWARD FOR OUTSTANDING ACHIEVEMENT IN RESEARCH ADMINISTRATION, NCURA'S MOST PRESTIGIOUS AWARD. BOB HAS BEEN IN RESEARCH ADMINISTRATION AND AN ACTIVE MEMBER OF NCURA FOR OVER 30 YEARS.

Bob is an extrememly knowledgeable and inspired leader in the research administration community. He has served as President, Board Member, Research Management Review Editor and Region II Chair of NCURA and is last year's recipient of the organization's Distinguished Service Award. He has also served as President of the University-Industry Demonstration Partnership, an Institutional Representative for the Federal Demonstration Partnership and a Committee Member for Council of Governmental Relations. His contributions to the field include efforts to improve the climate for industry-sponsored research at universities and significant involvement in development and dissemination of the FDP model subaward. Bob also servedon the joint AAU-COGR task force on publication restrictions and their impact on export controls.

Susan Butts, of The Dow Chemical Company, is a frequent collaborator with Bob and stresses how "He consistently demonstrates professionalism and integrity and seeks constructive approaches to problems. His expertise in research administration is evident- he is obviously respected by his peers at other institutions. He sees the big picture and is able to clearly articulate the university perspective and also understand the concerns of industry. He has a wonderful ability to bridge gaps, to find the common ground, and to help people with different opinions reach consensus."

What stands out most about Bob Killoren is his approach to leadership. Garrett Sanders of Ordway Research Institute notes how Bob "has always led…with his heart, and has been an innovator, leading by example and making everyone feel welcome as a valued and contributing member." Kenneth Forstmeier, Pennsylvania State University, further elaborates on Bob's dedication to leadership and progress with his observation that "it is unusual that someone who has spearheaded so many, sometimes contentious, innovations is universally respected and liked. It is clear to me that the research administration community (correctly) recognizes that Bob places advancing the field above advancing his own interests—he is selfless."

The Award for Outstanding Achievement in Research Administration will be presented November 5, 2007 at the 49th Annual Meeting morning's Keynote Address.

IN 2003, THE NCURA BOARD OF DIRECTORS ESTABLISHED THE JOSEPH F. CARRABINO AWARD. THE AWARD RECOGNIZES A FEDERAL PARTNER WHO HAS MADE A SIGNIFICANT CONTRIBUTION TO RESEARCH ADMINISTRATION, EITHER BY A SINGULAR INNOVATION OR BY A LIFETIME OF SERVICE. NCURA'S NOMINATING AND LEADERSHIP DEVELOPMENT COMMITTEE (N&LDC) SELECTED **DEBORAH RAFI** TO RECEIVE THE 2007 JOSEPH CARRABINO AWARD.

Debbie is the Director of the Indirect Cost Branch at the Office of Naval Research (ONR). She began her career in 1986 performing contract audits for the Defense Contract Audit Agency in southern California. In 1992 she relocated to Washington D.C. where she accepted an audit assignment at the National Academy of Sciences (NAS). This move presented Debbie with the opportunity to learn the world of "research grants and assistance" and nonprofit cost principles (OMB Circulars), and eventually led to her current position at ONR as Director of the Indirect Cost Branch. Patrick Fitzgerald, Harvard University, states, "Debbie has made a substantial contribution to research administration through her leadership in the Federal Demonstration Partnership (FDP), her participation in NCURA programs and her contribution to the regional cost accounting conferences (NECA, SECA, WECA). Debbie's commitment to working with higher education institutions to streamline research administration has contributed to tangible progress in several areas, including subrecipient monitoring." Dick Seligman, California Institute of Technology, further reveals her merits as a federal partner by stressing that "What makes Debbie Rafi stand apart from other government officials in the sponsored research enterprise is her thorough knowledge of the regulations and requirements for accountability and proper stewardship of Federal funds, coupled with a recognition that "accounting" and "accountability" are not necessarily synonymous." Tim Reuter, Boston University, sums up Debbie's invaluable contributions and dedication to the Research Administration by referring to Debbie as "the face of the federal audit community" and someone who "is not just an excellent federal colleague, but truly a champion of the federal research mission."

Debbie will be honored at the 49th Annual Meeting during a special recognition luncheon on November 5, 2007.

THIS YEAR THE NCURA NOMINATING AND LEADERSHIP DEVELOPMENT COMMITTEE SELECTED FIVE LONG-TIME NCURA MEMBERS TO RECEIVE THE DISTINGUISHED SERVICE AWARD. THIS AWARD RECOGNIZES MEMBERS WHO HAVE MADE SUSTAINED AND DISTINCTIVE CONTRIBUTIONS TO THE ORGANIZATION.

AWARD RECIPIENTS ARE:

JOSEPHINE BARNES, *Director, Office of Research and Projects, Southern Illinois University at Edwardsville.* Jo has served as a presenter at numerous meetings and conferences. She chaired the National NCURA Minority Participation Task Force and served as faculty on the special traveling NCURA/UNCF Fundamentals Workshop. Jo is a Region IV Past Executive Committee Member and award winner for her willingness to offer her time and talent to the region. Her contributions on the national level are also noteworthy: she was a member of the Finance and Budget Committee and in 2000 she served on the program committee for the inaugural Financial Research Administration Conference.

JAMIE CALDWELL, *Director, Office of Research Services, Loyola University of Chicago.* Jamie has served NCURA in a variety of capacities both regionally and nationally. A past member of the Board of Directors and former Chair of Region IV, Jamie has also served as workshop faculty and as a Leadership Development Institute (LDI) Advisor. In 2000 he was awarded the Region IV Distinguished Service Award.

JOHN CARFORA, *Director of Sponsored Research, Amherst College.* John currently serves as Chair of the NCURA International Commission and the International Neighborhood Committee. He has presented at Annual National and Regional Meetings on a consistent basis, served on the NCURA Board of Directors, and participated as faculty for NCURA satellite broadcasts. He also served as Vice Chair of the Professional Development Committee and volunteered as a Leadership Development Institute (LDI) Advisor.

JERRY FIFE, *Assistant Vice Chancellor For Research Finance, Vanderbilt University.* Jerry is a former President and Board Member of NCURA. He currently serves as a Contributing Editor to the Newsletter and as a faculty member for the SPA II traveling workshop. In the past years he has participated as a panelist and moderator for four NCURA satellite broadcasts as well as serving as the Chair of the FRA III Conference in 2002. He has also made numerous presentations for NCURA at both the regional and national level.

ANN HOLMES, *Chief Operating Officer, University of Maryland College Park..* Ann has served as Treasurer of Region II and has been a member of program committees for both Annual and Regional meetings as well as the Financial Research Administration Conference. She currently serves as a faculty member for both the Fundamentals and FRA traveling workshops. She was previously honored with the NCURA Region II Distinguished Service Award in 2006.

Each recipient has made a great contribution to NCURA in innumerable ways over the years. Their list of contributions is too great to list, this is just a summary of their service.

The Awards will be presented at the 49th Annual Meeting during a special Recognition Luncheon on Monday November 5, 2007.

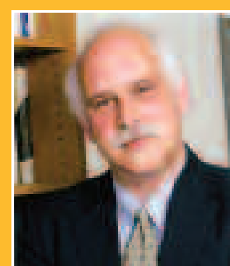
NCURA'S NOMINATING & LEADERSHIP DEVELOPMENT HAS AWARDED THE COUNCIL'S FIRST NCURA GOLD AWARD TO JULIA JACOBSEN.

The award will not be annual but, rather, will be given only when an NCURA member is identified as having made a sustained and distinctive contribution to the vitality and enduring legacy of NCURA.

Julia will be honored with this award at the 49th Annual Meeting Opening Banquet on Sunday November 4, 2007.

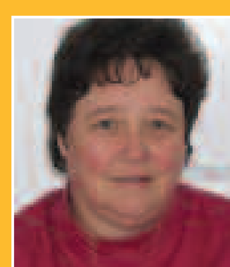
Josephine BARNES

Jamie CALDWELL



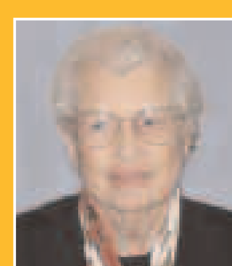
John CARFORA

Jerry FIFE



Ann HOLMES

Julia JACOBSEN



NCURA Neighborhoods

Connecting Your Community

DEPARTMENTAL

Welcome to fall (or Indian summer in the South). It is the beginning of another academic year – yes, departmental research administrators have to worry about that, too. At least NSF has made our lives a little easier by changing the indirect rules to fixed rate for the life of the project. It seems that everything that makes life easier also complicates it. The proposed budget will fit better since the indirect rate stays the same, but now we have to deal with multiple indirect rates.

With new faculty arriving, be sure to inform them of your institutional p-card policies. There will be a webinar on "Procurement Cards: Everywhere you DON'T Want Them to Be" September 20th from 12:30 – 2:00 pm. If you don't need more information on managing your p-cards, you have achieved the unachievable.

There will be information on the webpage about the NCURA Annual Meeting in November, including a listing of the departmental track concurrent sessions, how to be eligible for a departmental neighborhood gift, and information about how to recognize your fellow departmental administrators. Be sure to check it out on the departmental neighborhood web page. Keep checking back since it will always be a work in progress.

Velera Pate is Chair of the Departmental Administration Neighborhood Committee and serves as Financial Manager II, School of Physics, Georgia Institute of Technology

eRA

There is one constant in electronic research administration and that is change. There has been a recent resurgence in the use of NIH's ClinicalTrials.gov website. The National Library of Medicine, as a service of the NIH, has developed a website called ClinicalTrials.gov. ClinicalTrials.gov provides information regarding clinical research in human volunteers for both private and federally funded research. This website has been developed to comply with the International Committee of Medical Journal Editors (ICMJE) initiative requiring the public registry of a clinical trial as part of its condition for publication.

Institutions and investigators must register through a data system called Protocol Registration System (PRS) to use this portal to create, modify, and maintain information regarding clinical trials. The Organization (or institution) account can have multiple users who may serve as the organization's point(s) of contact. The investigator can enter information into the database regarding his /her specific trial using an Individual account.

This database captures key information regarding the trial and generates a summary of the information for the public to search. There are several search features available–the user can narrow the search by individual fields within the database (i.e. disease or condition, location, age group, etc.), perform a very "basic search" using key words unique to their interests, or quickly generate a listing by condition, sponsor, or status with just one click.

As an Organization, there are administrative features to create new user accounts, edit the trial information directly, and to approve or decline the trials before they are posted on the website.

To learn more about ClinicalTrials.gov and other emerging systems in a real-time environment, be sure to visit NCURA's Electronic Research Administration Neighborhood website. Our Library section contains relevant articles, electronic system overviews, resource links, and other useful tools for electronic research administration.

Rebecca Puig is a member of the eRA Neighborhood Committee and serves as Director of Research Resources at the University of South Florida.

FRA

This month, On Campus focuses on Jerry Fife, Past President of NCURA. You will learn key ideologies from Jerry's valued expertise of over 30 years in the field of research administration. Jerry's insights on where the field is headed, where we've been, and "just who are the Soul Source and the No Cost Extensions?" are a must read.

Have you ever come across a situation where you just didn't know what to do and wondered how others have handled similar situations? The FRA Web Site will be featuring real-life case studies that will present situations, pose questions and solicit feedback facilitating learning opportunities for all of us. Topics will include allocation of effort and competing commitments, cost sharing, laptops, effort reporting and a whole lot more. Check it out!

As always we encourage you to post your questions, concerns, insights, and experiences on our FRA Neighborhood listserv. The listserv is a valuable resource to all administrators, not just those on the financial side of the research administration fence.

Glenda Bullock (Luecke) and Linda Ward are both members of the Financial Research Administration Neighborhood Committee.Glenda is the Manager of Financial Operations for the Division of Hematology at Washington University in St. Louis, Linda is a Grant Accounting Manager at Children's Hospitals and Clinics of Minnesota.

INTERNATIONAL

The International Neighborhood is pleased to announce that a new Chair has been selected to succeed John Carfora, whose term expires in December 2007. The new Chair is Jim Casey, a current member of NCURA's Board of Directors, co-editor of the NCURA *Newsletter* and former editor of the *Research Management Review*.

While John Carfora, Denise Wallen, Pam Whitlock, David Mayo and Kathleen Larmett were in Warsaw, Poland representing NCURA at the Annual Meeting of the European Association of Research Managers and Administrators in June-July (2007), Jim Casey was in Brisbane, Australia representing the University-Industry Demonstration Partnership. The Brisbane conference, entitled "Legal Framework for e-Research," was sponsored by the

Australian Department of Education, Science and Training and the Queensland University of Technology.

The time is right for NCURA to expand its connections beyond Europe and with this in mind Jim Casey is well-positioned to work with fellow research administrators from other regions and countries, including the Australasian Research Management Society (ARMS), toward establishing closer ties at every professional level. Clearly the issues surrounding international research collaborations are becoming a hot topic as research administrators are being invited to speak on these issues in the Far East, including Japan and Singapore.

Jim Casey's willingness to take on the Chair's responsibilities will ensure that the International Neighborhood continues to prosper under the experienced, mature and professional oversight of an outstanding NCURA colleague.

John Carfora is Chair of the International Research Administration Neighborhood Committee and serves as Director of Sponsored Research at Amherst College.

PRE-AWARD

Likely, you have all heard of late night television's Top 10 List/Surveys. The topics vary from popular music to politics to movie stars. Well, NCURA's Pre-Award Neighborhood is likely one of the Top 10 resources that a growing number of research administrators, across the country and internationally, have accessed to secure the most up to date information on pre-award activities.

With the increased focus on research institutions expanding the level of funds available in this more and more competitive arena, research administrators have learned the importance of submitting a proposal that is both technically and administratively rock-solid and without errors in order to reach the ultimate goal, securing an award for the institution. The Pre-Award Neighborhood invites you to see for yourself what many are already saying about this resource. For example, did you know that when completing a Grants.gov application, there is a specific organizational data entry item that you must adjust in order for your application to move forward on the NIH eCommons site?

Be sure to visit NCURA's Pre-Award Neighborhood at the Neighborhood website to learn up-to date information on Grants.gov and gain access to the listserv, read online chat transcripts, and discover other institutional resources to assist you and your institution in the pre-award arena.

Candyce C. Lindsay is a member of the Pre-award Neighborhood Committee and serves as Site Supervisor and Sponsored Projects Officer at Arizona State University.

PUI

New grants offices are being developed with a minimum of leadership and research administration professionals. These offices are often in institutions with less than 5,000 students and without an intensive research agenda in the strategic plan. However, there are usually a small number of faculty who need these offices; and, often their voices have brought about an office with a director and probably a half time clerical person. The recent query on the PUI Neighborhood Listserv has been raised before by new grants officers: What should be the structure and responsibilities of my office?

With senior administrators and faculty you can think about long range outcomes of your work to determine your staffing and reporting structure. I suggest that you do not separate the pre- and post-award tasks, and that you have at least one full-time post-award person. That way you can train as you go.

For the complete article by Dr. Phil Myers, please see the PUI Neighborhood online.

Phil Myers, PhD, is the Director of the OSP at Western Kentucky University and the Director of Administration for the Western Kentucky Research Foundation, Inc.

September 11 Broadcast, Sub-awards: A Survivor's Guide of Key Concepts and Principles

Pictured Left to Right: David Mayo, Associate Director, Office of Sponsored Research, California Institute of Technology; Nancy Daneau, Associate Director of Research Administration Training and Institutional Liaison, New York University; Kathleen Larmett, NCURA Executive Director; Steve Erickson, Director, Office for Research Compliance and Intellectual Property Management, Boston College; Ruth Farrell, Associate Vice President for Research Administration, University of Vermont

Unity through Diversity

November 4 – 7

Washington, DC

2007

Workshop 2007!

While you soak in the wonderful offerings and networking that is the 49th Annual Meeting, take advantage of your time in Washington to experience the in-depth slate of professional development that is Workshop 2007:

WORKSHOP 2007 has been designed in response to what the Research Administration Community has called for…the information to do your job well, the tools to communicate effectively, and the forum to share ideas and strategies with your colleagues. We've brought back your favorite workshops from 2006 and added several new ones that range from offerings for those newer to the profession, those in management, and the most senior level research administrators.

The NCURA membership is extremely fortunate to have experts among us who are leaders in their respective areas of research administration. We hope you'll take advantage of the diverse offerings. Each workshop includes a program level, which allows members to match offerings to their individual experience level. Pre-requisites note background and/or previous experience. The four program levels are:

Basic: Participant should be reasonably new to research administration or the subject area covered by the workshop. Session will be conducted in a classroom setting.

Applied: Participant should possess a working knowledge of the subject area although some review of basics may be necessary to establish baselines. Session will be conducted in a classroom setting.

Operational: Participant should have working knowledge and experience in the subject area. The facilitator will presume already established basic knowledge but definitions may be necessary to establish for clarity of discussion. Session conducted in a conference room with limited attendance to enhance discussion.

Policy: Participant should be well experienced in the subject area, hold a senior level position, and possess a background and regulatory basis sufficient to participate in lively discussion. Session conducted in a conference room with limited attendance.

MANAGER FORUMS. The program level for these offerings is Operational. Participant should have working knowledge and experience in the subject area. The facilitator will presume already established basic knowledge but definitions may be necessary to establish for clarity of discussion. Sessions will be conducted in a conference room with limited attendance to enhance discussion. Attendees should ensure appropriate pre-requisites and experience.

SENIOR LEVEL SEMINARS. The program level for these offerings is Policy. Target audience is experienced people in senior management positions. Current issues and regulatory basis are presumed known. No powerpoint slides, handouts should be used to embellish topics and not necessarily used during discussion. Agenda topics should be known but discussion should dictate the length and depth of each topic. Session attendance is limited to encourage discussion and active participation by attendees.

SENIOR DISCUSSION FORUMS. This year NCURA is offering a new opportunity for senior administrators. We will offer two extended sessions (one on Monday afternoon and one on Tuesday morning) specifically targeted for veteran research administrators to come together to discuss their vexing issues/challenges and the latest government guidelines and their impact on the university community. See the program for descriptions and facilitators. Participation in these two offerings is at no additional cost but is limited and requires advanced registration.

SPEND A DAY WITH NIH OR NSF. Don't miss this opportunity spend the day onsite at the Hilton Washington with key officials from the National Science Foundation and the National Institutes of Health. We are so pleased to be able to offer these full day workshops with our Federal partners and we encourage you to take advantage of this unique opportunity to spend a day learning the ins and outs of these key sponsor organizations!

See below for a full listing of the offerings, and descriptions can be found at: http://www.ncura.edu/content/educational_programs/sites/49/pdf/amprogram.pdf

We look forward to seeing you in November!

Sunday | November 4

8:30 am – 4:30 pm

Full Day Offerings

WORKSHOP 1: **Pre-award Fundamentals**

WORKSHOP 2: **Post Award Fundamentals**

WORKSHOP 3: **An Introduction to Clinical Trials**

WORKSHOP 4: **Financial Research Administration**

MANAGER FORUM 25: **Let's Get Together: Risks and Rewards of Merging Pre- and Post-award Offices**

MANAGER FORUM 26: **PUIs: Let's Learn from Each Other: A Manager's Forum on Problems, Solutions, and Strategies for the Research Administrator at a Comprehensive University**

8:30 am - Noon

Morning Offerings

WORKSHOP 5: **Proposal Development for Research Administrators**

WORKSHOP 6: **A Primer in Intellectual Property for the Research Administrator Identifying the Good, the Bad, and the Ugly**

WORKSHOP 7: **Introduction to the Federal Acquisition Regulation**

WORKSHOP 8: **Departmental Administration Boot Camp**

WORKSHOP 9: **Subaward Basics**

WORKSHOP 10: **Research Administration for the Technical Professional**

WORKSHOP 11: **Financial Compliance - Where are the Largest Vulnerabilities and What You Can Do About Them?**

MANAGER FORUM 27: **Challenges Facing Research Administrators at Hospitals/ Academic Medical Centers**

MANAGER FORUM 28: **The Ins and Outs of Creating and Negotiating an MTA, NDA, MOU, IPA, CRADA, and OTA**

SENIOR LEVEL SEMINAR 30: **What to Do When Export Controls Apply: License Determinations, Exceptions and Submissions in the Conduct of University Research**

SENIOR LEVEL SEMINAR 31: **The Three R's: Recruiting, Rewarding and Retaining Good Staff**

1:00 – 4:30 pm

Afternoon Offerings

WORKSHOP 12: **What Every Department Administrator Needs to Know About A-21**

WORKSHOP 13: **Successful Negotiating: Strategies and Techniques for Reaching Mutual Satisfaction**

WORKSHOP 14: **Developing Proposals to the National Institutes of Health**

WORKSHOP 15: **Protection of Human Subjects Basics**

WORKSHOP 16: **Grants.Gov: Train, Implement, Submit, Succeed**

WORKSHOP 17: **Understanding and Negotiating Legal Terms & Concepts**

WORKSHOP 18: **Federal Contracts: Let's Dig Deeper and Maybe Find Some Gold**

WORKSHOP 19: **Exploring OMB Circulars A-21, A-110, A-133: A Primer on the Basic Components**

WORKSHOP 20: **ABCs and a Few XYZs of Industrial Agreements**

WORKSHOP 21: **International Collaborations**

WORKSHOP 22: **Living with Export Controlled Sponsored Research**

MANAGER FORUM 29: **Dealing with the Headaches of Compliance**

SENIOR LEVEL SEMINAR 32: **Top 10 Reasons Why Intellectual Property Issues Multiply and Don't Go Away**

SENIOR LEVEL SEMINAR 33: **Fiscal Issues for Senior Research Administrators**

Monday | November 5

1:30 – 5:00 pm

SENIOR DISCUSSION 34: **Resistant Problems and Talking Cures**

Tuesday | November 6

8:30 am – Noon

SENIOR DISCUSSION 35 **Federal Research Policy Forum**

Thursday | November 8

8:30 am – 4:30 pm

Full Day Offerings

WORKSHOP 23: **A Day with NSF**

WORKSHOP 24: **A Day with NIH: Up Close and Personal**

MANAGING "DIFFICULT" PEOPLE AT WORK

By Rodney L. Lowman

HOW DOES A SEEMINGLY MILD-MANNERED EMPLOYEE BECOME AN UNMANAGEABLE, ANGRY MONSTER? WHAT IS A MANAGER TO DO WITH AN EMPLOYEE WHO IS UNABLE TO MAKE A DECISION, LEAVING EMAILS UNRETURNED AND ACCOMPLISHING LITTLE FOR WEEKS AT A TIME?

Both these cases are real, and both present serious challenges for any manager. In this article, I'd like to present some ideas for avoiding situations like these—if possible—and dealing effectively with "difficult" employees—when necessary.

Some days I feel like I have seen it all. I've been an academic department chair, dean, provost/vice president for academic affairs, and acting president. In October I become president of Lake Superior State University. I've also advised organizations on managing difficult employees at work. Consulting is much easier: I can give my advice and go home.

I have seen many articles and books on "managing difficult employees" or "coping with impossible bosses." I have come to realize the interaction of person and situation matters as much in working relationships as in any other aspect of human behavior. There are rarely universals that make every employee difficult in every work situation. And the boss that some experience as the "worst ever" is experienced by others as their "best ever." (Trust me on that one: I've been seen as both in the same organization, and sometimes, over time, with the same people!) And often, what seems to be a characteristic of a person is at least as much a characteristic of a complicated and too-stressful work situation.Take the case of the angry monster. His behavior became increasingly difficult to deal with when his anger seemed increasingly out of control. When he stormed out of my office after engaging in a shouting match, he slammed the door loudly in front of others. I had no choice but to take action and did—not just because of this incident but because his behavior had reached intolerable and seemingly unchangeable limits. There were a variety of factors at work. The organization itself was under tremendous pressure—financial and otherwise—and this manager was in the middle of a vigorously contested divorce. Under less turbulent organizational times, the turbulence in his personal life would probably not have spilled over as much as it did into his managerial duties.

The indecisive administrator was also my boss, which made the situation even more difficult to resolve. E-mails were not returned, if at all, for weeks or months, yet there was a constant series of meetings that seemed unproductive and unhelpful. One of the main foci seemed to be on planning the next meeting. A number of the direct reports shared their frustrations, but few of us were willing to take the supervisor on. Those of us who did paid the price in terms of chilliness and lowered performance reviews.

In today's world I'd also have to cite the "e-mail warriors." These are the individuals who fight from afar by blanketing everyone in the university with their views. Inevitably some will latch on to the most extreme positions. Once started, such e-mail wars are difficult to end. And for the bright and articulate people who work at universities, the stream of words can be endless, if rarely productive.

AN OUNCE OF PREVENTION

The most important part of managing difficult people effectively, I would argue, is not to get into the situation in the first place. This means rigorous screening up front, lots of reference checks, and interviews with more than one person in the office so there is some consensus on who is being hired. Better to hire a temp than a permanent employee about whom there are questions.

When I was a department head hiring faculty members, I always saved the envelope in which application materials arrived. Letters were almost always pristine and politically correct, but the envelope was often handwritten and gave some sense of how the person presented him- or herself when no one was looking. Think of the interview as a behavioral sample. Don't just ask the usual questions about background, strengths and weaknesses and career goals in the customary tired way. Be indirect. For example, how would others describe your style as a worker or a supervisor? Also, create situations in which you can see how the person performs under stress. See how the job prospect handles being kept waiting, running over an appointed time, having the schedule for the day suddenly changed, etc. Interview behavior is usually well-rehearsed and well-practiced. You want to see how they respond in more spontaneous and ambiguous situations.

PAY ATTENTION TO YOUR REACTIONS AND THOSE OF OTHERS

A potential hire should not be rejected because she or he reminds you of your difficult mother, but it would be important to figure out the source of the feelings you are experiencing. Do others have similar concerns, or are you experiencing an individual "red flag"? When in doubt, bring the person back for another round of interviews, do more reference checking, or just say no.

You can choose your employees and get rid of those who are really ineffectual, but you are stuck with your clients, right? Well, not necessarily. I know of a number of consultants who have "fired clients." They did so because the income, no matter how great, was not worth the trouble of the persistent and aggressive demands. Psychological health is often more valuable than money. Unfortunately, university administrators have fewer options, but you can manage clients by assigning ones you find excessively troublesome to someone else in the office. A client you find difficult may be no trouble to someone else in the office with a different personality or work style.

SOME COURSES OF ACTION

We are all trained—at least to some extent—to avoid conflict, particularly when we are in a customer service or support function. Simple statements are a good place to start, e.g., "I'm bothered that we are not seeming to give you what you need; I'm wondering how we can do a better job." It's usually best to start with the assumption that it's easier to change your behavior than the other person's. However, when difficult people remain difficult, it's important to put the issues that are bothering you to them in as neutral a way as you can. "It seems that everything we have tried has not satisfied you, and my staff is finding it difficult to support your office. I'm wondering what we can do to change that." Some difficult people may need less subtlety and may respond better to a more aggressive counterattack. For example, "You have asked us to drop everything for your last three grant applications, and we are not willing to do it anymore. We will work with you to plan your grant submission in a timely way, but if you give us any less than [fill in the blank] notice, we will have to say 'no' to your requests." Of course, before you take such action, be sure you have informed your own boss of what you plan to do and why and have her or his support to do so.

HERE ARE SOME GENERAL SUGGESTIONS TO FOLLOW IN DEALING WITH DIFFICULT PEOPLE:

1. You are paid to perform a job in a civilized society. You do not have to be badgered or bullied and should set clear boundaries about what you are willing and not willing to tolerate.

2. Gather data and study the problem before you draw any conclusions. Don't be too quick to jump to conclusions. Check out your perceptions with others. Examine carefully the types of situations in which the behavior you find problematic is generally elicited. Make sure you are not the other individual's "difficult person." Try changing your own behavior to see if that makes any difference.

3. Talk to your organization's professionals in human resources and organizational development (OD). How would they suggest you proceed? Ask them to bring in a consultant who specializes in this type of thing. Ask for a coach to assist you in dealing with the people you have otherwise been helpless to change.

4. Take action immediately once the pattern is established and you feel that you cannot--and should not--have to live with the situation. The longer you let a situation fester, the more difficult it will be to change later. Let the person or unit know what you are unhappy with and how you would like it to be different. Remind them every time the pattern repeats. Train the person or group that bad behavior has clear consequences.

5. Don't be overly intimidated by power. We, most of us anyway, are programmed to say yes to those in power, those who can affect our futures. You can be cordial and generally supportive while also setting boundaries and limits.

6. Use humor. When a problematic person comes in to your office you can jokingly say "here comes trouble" loud enough for your subordinates to hear. They need to know you are sticking up for them when dealing with a bully.

7. If all else fails and you are stuck in an untenable situation, consider changing jobs or units. Let your boss (unless he or she is the difficult person!) know that you have had it with this behavior and you would rather leave than put up with it any longer. That sends a clear message and may get attention when other approaches have failed.

Rodney L. Lowman, PhD, is a Professor and President of Lake Superior State University in Sault Ste. Marie, Michigan.

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Long-Term

University-Industry Collaborations

Maintaining university collaborations with industry requires continual interactions, execution, and, most-of-all, passion.

By James J. Casey, Jr.

Higher education is in an interesting era right now in terms of extramural funding levels. Not only is the short term future relatively uncertain, but it is widely expected that federal funding will be stagnant, if not in decline, within many federal agencies in the near future. While this is due to reasons beyond the control of colleges and universities, it is imperative that all colleges and universities diversify their sponsored program portfolios. A significant area that remains critical is university-industry collaborations that create win-win situations for academia and industry. While there has been historical growth in this area since the 1970s, given the current funding climate, these partners need each other more than ever.

The future of university-industry collaboration is bright despite concerns that continue to exist over contract negotiation, intellectual property, licensing, commercialization and technology transfer. While academia and industry are the primary partners discussed in this paper, the federal government and the state governments are important players in their own right.

PARTNERSHIP PROJECTS

The University Industry Demonstration Partnership (UIDP, located at www.uidp.org), is the successor to the University-Industry Partnership Project (UIPP). The UIPP, established by the National Council of University Research Administrators and the Industrial Research Institute, Inc., with the Government-University-Industry Research Roundtable (GUIRR) at the National Academies serving as the neutral convenor, ran from August 2003 to April 2006.

The UIPP brought together approximately 35 hand picked people from academia, industry, and the federal government. The purpose was to discuss the university-industry relationship, ascertain what was working and what was not, and to establish deliverables which would strengthen these relationships. By the time the UIPP ended with a national summit in April 2006, the UIPP came up with principles essential to smooth working university-industry partnerships and published a "living studies" document which illustrated a variety of successful and problematic partnerships. Taking the work product of the UIPP, the UIDP was subsequently established and had its first meeting in December 2006.

The UIDP was modeled after the Federal Demonstration Partnership (FDP), which began as the Florida Demonstration Project in 1986. The FDP is an association of federal agencies, academic research institutions with administrative, faculty and technical representation, and research policy organizations that work to streamline the administration of federally sponsored research (FDP Mission Statement, www.thefdp.org/about_FDP).

FDP members of all sectors cooperate in identifying, testing, and implementing new, more effective ways of managing more than $15 Billion in federal research grants. The goal of improving the productivity of research without compromising its stewardship has benefits for the entire nation.

Taking the UIPP results into a concrete realm, and using 20 years of FDP experience, the mission of the UIDP is to nourish and expand collaborative partnerships between universities and industry in the United States. How will this mission be accomplished? As the UIDP main web page states (www.uidp.org/about_uidp):

"The UIDP accomplishes this mission via a coalition of universities and companies who engage in voluntary collaborative experiments or new approaches to sponsored research, licensing arrangements, and the broader strategic elements of a healthy, long-term university-industry relationship. Institutional experiments are chosen and jointly pursued by willing members when they have the potential to increase the level, degree, or ease of university-industry collaboration. A primary focus for the UIDP's initial work will be on streamlining intellectual property negotiations."

As of March 2, 2007, there are 49 universities and 19 companies in the UIDP. The National Science Foundation (NSF) is a Founder's Circle Member, a category reserved for entities that make a substantial resource contribution to the UIDP.

One of the first UIDP initiatives is crafting "TurboNegotiator," a tool to allow university and industry negotiators to rapidly navigate towards mutual agreement on intellectual property provisions (see the main UIDP web page, above). This initiative came out of the UIPP, which found that research agreements and intellectual property provisions were among the most significant impediments to past, present, and future collaboration between universities and companies.

This article originally appeared in the June 2007 issue of R&D Magazine Academic Sourcebook.

Even with this cursory summary, the reader is able to see what the important issues central to the university-industry partnership are and how important the federal government is in spurring partnerships even when they are not a central partner to the relationship. Experienced sponsored programs professionals know that federal grant programs exist that either heavily suggest or require industry participation in grant applications.

In the end, a long term vision for university-industry collaboration requires the marriage of passion, human interaction, administrative precision, and technical execution. While academic institutions and private companies have their own self-interests to pursue in these relationships, the key to success in the arena of collaboration is enough common purpose to balance the pursuit of self-interest. Self-interest without common purpose leads to dysfunctional business relationships, assuming of course that a deal can be struck in the first place. The world is a small place and academia and industry need each other.

James J. Casey, Jr., is an attorney and consultant based in Milwaukee, Wisc. (lawrev@hotmail.com).

Key principles for success

Key principles for long-term success in university-industry collaborations are:

1. Match missions with needs. It is self-evident that each party wants something out of the relationship, but it is equally critical that the individual missions are complementary enough to ensure project success. Without mission compatibility, the chances for problems and failure increase.
2. Know when to compromise and when to dig in your heels. Negotiation is part art, part science. This ability is equally important in the administrative, contractual, and scientific realms.
3. Passion is just as important as technical performance.
4. Time is not always on your side-negotiate and execute accordingly.
5. Neglecting the overall relationship—as opposed to specific scientific tasks—exposes the relationship to potential pitfalls. The iceberg may be just below the surface. As an attorney who has handled several dozen divorce cases in his professional career, failing to pay attention to the overall relationship is a prescription for failure.
6. International collaborations should be pursued wherever possible. Push the intellectual envelope by stretching cultural/social bonds.

Recent Developments in Technology Transfer and Industry Interactions

by Robert Hardy and James A. Severson

RESEARCH CONDUCTED AT RESEARCH INSTITUTIONS IS PREDOMINANTLY DISCOVERY DRIVEN, OR WHAT IS COMMONLY KNOWN AS "BASIC RESEARCH," AND IS LARGELY FUNDED BY THE FEDERAL GOVERNMENT. HOWEVER, NEW INNOVATIONS OF INTEREST TO COMPANIES CAN AND DO OCCUR. AS A RESULT, RESEARCH INSTITUTIONS ARE INCREASINGLY INVOLVED IN RESEARCH COLLABORATIONS, CONSORTIA, AND BUSINESS TRANSACTIONS WITH THE PRIVATE SECTOR. INCREASINGLY, THESE RESEARCH RELATIONSHIPS ARE ACTIVELY ENCOURAGED BY STATES AND THE FEDERAL GOVERNMENT TO SPUR INNOVATION AND ECONOMIC DEVELOPMENT.

It is important to note at the outset that commercial outcomes are not the primary mission of most research institutions. However, technology transfer is one tool that research institutions use to fulfill their missions of teaching, research, and service. While there are many positive outcomes to technology transfer, its primary goal is to ensure that university innovations are diligently developed into goods and services that are ultimately made available to the public. This is an outcome that is entirely consistent with a university's mission of public service.

It is worth noting some key indicators of success of academic technology transfer. Using the annual survey of licensing activity conducted by the Association of University Technology Managers (AUTM), over the past nine years approximately 3,600 new products have been introduced that resulted directly from university research. These products come from a broad array of research areas including medicine, public safety, food and agriculture, new materials, semiconductor devices, education and communications; 527 new products were introduced in 2005 alone. More than 5000 companies have been spun off from universities since passage of the Bayh-Dole Act in 1980, contributing to the creation of over 260,000 new jobs. (For specific examples of successful academic technology transfer, see AUTM Better World Report, http://www.betterworldproject.net/report.cfm).

The past year has been a busy one for anyone who has an active interest in the interaction of research institutions and industry. Proposed changes to patent law, new initiatives that have at their surface the goal of speeding and simplifying transactions between universities and industry, a recent emphasis on licensing practices that support the development of technologies for global health, and the continued funding and implementation of state and local programs to enhance economic development through the transfer of new ideas that are created in research laboratories are all topics that have been in play recently. Also, lest we forget, there is the continued drumbeat from critics that the increasing involvement of research institutions and their faculty with companies will lead to a diversion of mission and to a loss of objectivity of science.

In the summer of 2006, the senior research officer and the senior technology transfer officer from a number of universities were invited to participate in a 2-day meeting at Stanford University to discuss current developments in research and technology transfer. The result of these discussions is a document titled "Nine Points to Consider in Drafting Technology Licenses" (http://www.autm.net/aboutTT/Points_to_Consider.pdf). (http://chronicle.com/weekly/v53/i28/28a03502.htm).

Following its distribution, the document was endorsed by AUTM which also encouraged research institutions that were not part of the initial discussions to endorse the document.

"Nine Points" was in no way intended to be a prescriptive or exhaustive document, and clearly articulates that each transaction should be considered on a case-by-case basis. "Nine Points" may not be well received by some policy makers and business people who want to see the doors flung wide open, but it does provide a set of principles for dealing with common sticking points in license transactions.

In a similar context, the Council on Governmental Relations (COGR) has recently released a new document to address topics that are commonly raised in discussions about technology transfer with policy makers and businesses. This document is entitled "21 Questions about University Technology Transfer" (http://www.cogr.edu/files/publications_intellectual.cfm). "21 Questions" is presented in a Q&A format and addresses some of the myths and misconceptions about technology transfer. Some of the topics overlap with topics covered in the "Nine Points," but are dealt with in more depth and with the goal of helping the reader respond to these questions when they occur in discussions with industry or policy leaders.

COGR has also updated its document entitled "University Industry Research Relationships" (www.cogr.edu). This document takes a higher level view of these relationships and includes a discussion of differences in mission and organization of universities and businesses, and provides perspective on some of the classic sticking points in negotiations. Research institutions and for-profit entities have largely divergent objectives. However, these differences can be easily overcome when all parties recognize the objectives and limitations of the other parties. Industry sectors differ from one another in their relationships with universities, as do companies within sectors. Similarly, universities differ from one another in many significant ways (e.g. public vs. private, mission, size, history, culture, etc.). The COGR document recognizes that in order to craft a mutually agreeable research relationship, both parties need to appreciate the differences between each other and work toward solutions that take into account the varied needs of the parties.

The April 2006 formation of the University-Industry Demonstration Partnership (UIDP) under the auspices of the National Academies (http://www.uidp.org/) provides a forum for research institutions and businesses from many industry segments to find common ground and to seek approaches that allow both research institutions and companies to achieve their goals in a research relationship.

In addition, the House Science and Technology Subcommittee on Technology and Innovation held a hearing recently to discuss the future of the Bayh-Dole Act. Subsequently, COGR and three other higher education associations jointly submitted a statement for the record to the Subcommittee. The statement addresses concerns raised by some industry representatives at the hearing that universities' intellectual property practices can make collaborations difficult. "We note that, significantly, all of the witnesses testified that they see no need for major legislative changes to Bayh-Dole," said the letter. The statement added that other factors of academic culture may contribute to challenges in university-industry collaborations, including "freedom to publish (including the ability to publish negative results), sustaining an open environment for faculty and students conducive to training new scientists and workers, management of conflicts of interest, honoring philanthropic commitments, and generally safeguarding an institution's academic mission." (A copy of the associations' statement is available on the AAU Web site at: http://www.aau.edu/intellect/Stmt_Assn_Bayh-Dole_8-8-07.pdf).

Research institutions are deeply committed to preserving the integrity of their research and the public's confidence. While true conflicts and bias are rare, the academic community nonetheless recognizes the importance of addressing them in a responsible manner. As a result, most institutions require disclosure of all financial conflicts, active management of most and, in some cases, such as where human subjects are involved, prohibition of the conflicted activity.

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This past summer the Federation of American Societies for Experimental Biology (FASEB) launched a web site (http://opa.faseb.org/pages/Advocacy/coi/Toolkit.htm) to help investigators and institutions better manage outside activities and financial interests. The web site and tools were an extension of an initiative that started as a workshop hosted by FASEB in 2005 entitled "Shared Responsibility, Individual Integrity (Brockway LM and Furcht LT. Conflicts of interest in biomedical research – the FASEB guidelines. FASEB Journal, 20:2435-2438, 2006). This initiative was developed through funding provided by ORI and represents a coalition of organizations including AAMC and COGR to provide guidance and tools for investigators.

We anticipate that the fast-moving environment around the relationships between research institutions and companies will continue. Pending legislation in Congress to address perceived deficiencies in competitiveness and innovation are likely to drive further debate and scrutiny. While specific outcomes are almost impossible to predict, the pressure will be for research institutions to alter their partnering practices and transaction models to facilitate relationships with companies. The challenge for research institutions will be to how best accommodate these expectations while preserving the fundamental nature of academic research.

Robert Hardy serves as Director, Contracts and Intellectual Property Management, Council on Governmental Relations. James A. Severson serves as Vice Provost for Intellectual Property and Technology Transfer, University of Washington.

RESULTS ARE IN!

2007 Election Results

NCURA Vice President/President-elect:
DENISE CLARK

❖

Treasurer-elect
BARBARA COLE

❖

Secretary
GUNTA LIDERS

❖

BOGDANSKI AND SEDWICK
Elected to NCURA Board of Directors

DENISE J. CLARK, Assistant Vice President for Research Administration and Advancement at the University of Maryland College Park has won the election for NCURA Vice President/President-elect. Clark's current term as NCURA Secretary will end on December 31, 2007 and she will take on her new office on January 1, 2008. A member since 1989, Clark has held a number of volunteer positions within the organization and is currently faculty for NCURA's hallmark traveling workshop, the Fundamentals of Sponsored Project Administration. Clark, excited at the outcome of the election, stated, "I am truly honored to be given the opportunity to serve in this NCURA leadership role, especially during such an exciting time. Serving as Vice President/President elect during the 50th Anniversary Meeting and the follow on year -long celebration is a great privilege. I look forward to working with the membership to continue to enhance NCURA's contributions to the field of research administration."

The NCURA membership also elected BARBARA COLE, Associate Vice President, Research Administration at Boston University to the position of Treasurer-elect. A member of NCURA since 1992 and current NCURA Financial Management Committee member, Barbara will take her new position on January 1, 2008, and will succeed current Treasurer Kerry Peluso in 2009. When asked about taking on her new volunteer responsibilities, Cole commented, "What a honor it is to be Treasurer Elect for this organization. I really look forward to serving NCURA and its members! "

Current NCURA Board Member GUNTA LIDERS, Associate Vice President for Research Administration at the University of Rochester will begin her term of office as Secretary of the Council beginning January 1. A recipient of NCURA's Distinguished Service Award, Liders has been an active volunteer since shortly after she joined the organization in 1987. A well-known faculty member for numerous workshops she has taught on behalf of NCURA, Liders was co-editor of this newsletter from 2000 through 2003. Liders is looking forward to her new volunteer role, "What an honor to have been elected as NCURA's Secretary! I look forward to serving the membership in this role, and to what will surely be two exciting years ahead."

Also elected by the NCURA membership to the positions of At Large Member of the Board of Directors are current Board Presidential Appointee VINCENT "BO" BOGDANSKI, Assistant Director of Sponsored Programs at Colorado State University and NCURA Professional Development Chair, SUSAN WYATT SEDWICK, Associate Vice President for Research and Director at the University of Texas at Austin. Bodganski and Sedwick, both long-time members will begin their terms at the beginning of next year.

More Power

and Peace of Mind

for You

Knowledge is power; and it produces the greatest power when innovative minds work together. You can now maximize this increased power through The Collaborative Consultants and the experience and knowledge our experts have in the management of sponsored research. The Collaborative Consultants is the alliance of RACS LLC and G & K Consulting Inc. By combining the resources of these well respected firms, we are now a leader in research administration consulting services as measured by experience, knowledge and creativity, and most importantly— in achieving your desired outcome.

Our number one priority is to get to know your needs. The Collaborative Consultants know how to listen to you. We translate our hands-on experience and know-how to provide you with effective and efficient solutions. We have worked with universities large and small, research institutes, biomedical companies, non-profit and government agencies, and world-renowned research hospitals.

Why Put The Power of Collaborative Consultants to Work for You?

More than 100 years combined experience –
The Collaborative Consultants have extensive leadership experience in the administration, organization, and assessment of sponsored research from proposal development to close-out and audit resolution. We specialize in the areas of compliance, stewardship, research finance, indirect cost negotiation, revenue recovery, strategic planning, staff training and development, faculty outreach, and audit resolution.

More cost effective – The Collaborative Consultants have an affordable price structure that accommodates budgets for organizations of all sizes--our fees are usually a fraction of what larger firms charge.

More focused resources – The Collaborative Consultants work with you to develop an action plan tailored to your needs, maximizing your opportunities while limiting liabilities.

Meet The Collaborative Consultants

John Fini has overseen research portfolios of nearly $1 billion per annum during his more than 30 years leadership experience in the financial management of research for hospitals and universities.

James Grayson, a co-founder of G&K Consultants, accrued more than 30 years leadership experience in the management of sponsored research hospitals and universities.

John Kavanagh, a co-founder of G&K Consultants, acquired more than 30 years leadership experience in the management of sponsored research at colleges and universities.

Charlie Tardivo, the founder of RACS LLC, (Research Administration Consulting Services) has more than 30 years leadership experience in the management of research administration within academia, non-profit agencies, biotech, and research hospitals.

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jimgrayson@earthlink.net

NCURA 2006 vs. 2005 Financial Co

Growth continues to be a large part of NCURA. This continued growth reflects the high quality of service to our Members and the excellent programming that has resulted from the dedicated efforts of our Volunteers. As each year passes, the number of people who benefit from NCURA grows. Remaining focused on NCURA's Purpose and Mission has allowed this to occur.

NCURA'S PURPOSE AND MISSION

NCURA serves its members and advances the field of research administration through education and professional development programs, the sharing of knowledge and experience, and by fostering a professional, collegial, and respected community.

As the need and demand for the types of services and programs NCURA offers has grown, NCURA has been able to evaluate its member's needs and increase the amount and variety of programs and services offered while maintaining their high level of quality. During 2006, NCURA introduced the Financial Research Administrator's Workshop which provided a workshop, offered in a format similar to that of the Fundamentals Workshop, which provided a more in depth focus on the financial issues related to Research Administration. Also new to NCURA in 2006 was the PreAward Conference which provided Research Administrators with the opportunity to come together and focus on the issues related to Pre-Award Administration.

While there was a time when NCURA's revenue consisted almost inclusively of the annual meeting and membership revenue, that is no longer the case. The revenue derived from the annual meeting and membership dues in 2006 was only 52% of the total revenue realized by NCURA. Having revenue which is realized from a larger, more diverse group of sources places NCURA in a much stronger position to face the future and meet the growing needs of its membership.

MEMBERSHIPS

While keeping dues level for a fourth year in a row, a 9% increase in revenue from membership fees occurred in 2006 as the pattern of membership growth continued for NCURA. Membership rose from 5503 at the end of 2005 to 6118 at the end of 2006. Other membership services revenue increased by 13.5% resulting mainly from an increase in sponsorship dollars and proceeds from career center postings.

Revenues and Expenses

2006 REVENUE COMPARISON TO 2005

REVENUE	2006	2005	Percent Change
Member Dues	$794,987	$732,868	8.5%
Annual Meeting	$1,015,740	$877,072	15.8%
Ann Mtg Workshops	$108,439	$102,071	6.2%
Special Conferences	$1,175,552	$964,862	21.8%
Regional Conferences	$510,227	$392,556	30.0%
Fundamental Workshops	$673,876	$466,931	44.3%
Sponsorships	$154,616	$45,385	240.0%
Publications	$185,876	$179,347	3.6%
Interest and Dividends	$119,293	$71,429	67.0%
Unrealized/Realized gain Investments	$43,183	$3,897	1008.0%
Other Income	$8,407	$8,558	-1.8%
TOTAL	**$4,790,196**	**$3,844,976**	

2006 EXPENDITURES COMPARISON TO 2005

EXPENDITURES	2006	2005	Percent Change
Member Services	$688,346	$571,444	20.5%
Annual Meeting	$900,891	$870,326	3.5%
Annual Meeting Workshops	$80,502	$71,139	13.1%
Special Conferences	$916,455	$707,088	29.6%
Regional Conferences	$455,486	$375,344	21.4%
Fundamental Workshops	$406,080	$284,545	42.7%
Publications	$98,011	$69,554	40.9%
Management and General	$433,522	$410,415	5.6%
TOTAL	**$3,979,293**	**$3,359,855**	
NET INCOME	**$810,903**	**$485,121**	**67.1%**

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ANNUAL MEETING

The annual meeting experienced an increase of almost 20% in attendees jumping from 1763 in 2005 to 2104 in 2006. This, once again, set a record for NCURA's highest attendance ever at an annual meeting. Revenue for this meeting experienced an increase of 12%. Notably, expenses related to the meeting increased minimally by only 1.6%. Revenue from annual meeting workshops increased by 5.6%

OTHER PROGRAMS

Fundamentals Workshops experienced a 44% increase in revenue as NCURA increased the number of workshops offered to meet the high demand for this program. The demand for and number of on-site campus sessions offered significantly increased. The follow up course to Fundamentals, Sponsored Programs Administration II, experienced growth of almost 21% in the area of programs offered to all Universities. In addition, two on-site campus sessions were offered. On-line education and tutorials experienced a combined increase of over 12% resulting mainly from the addition of an On-line Tutorial for Federal Contracting. Satellite Conferences posted a slight decrease in revenue of 3.7%.

IN SUMMARY

Overall total revenues increased almost 21% from 2005 to 2006 and overall expenditures increased by 18.3%. During 2006, a search for a new home for NCURA occurred. As noted in a previous NCURA Newsletter, due to an increasing membership, along with programs and publications, it was critical to find a location with room to accomodate our continuing rapid growth. After an extensive search, a new location was selected. NCURA's national office was relocated in early 2007. The costs associated with that move will be reflected in 2007 along with savings which will be realized by the addition of two meeting rooms at the new location, enabling us to host committee meetings on at the NCURA office and decrease hotel meeting costs.

The consistent growth and sound financial management of NCURA has allowed NCURA to touch an increasing amount of people each year. The current financial state of NCURA provides the foundation to ensure their continued ability to do this.

NCURA Leadership Development Institute Class of 2008 Selected

NCURA's Nominating & Leadership Development Committee has selected the Leadership Development Institute of 2008. LDI class members and their NCURA advisors are as follows:

STUDENT: Katherine Bir, *The University of Alabama*
ADVISOR: Toni Lawson, *University of Maryland College Park*

STUDENT: Melinda Cotton, *Vanderbilt University*
ADVISOR: Kerry Peluso, *Emory University*

STUDENT: Tammy Custer, *Cornell University*
ADVISOR: Bonny Boice, *Research Foundation of SUNY*

STUDENT: Ty Lane, *University of Texas at Austin*
ADVISOR: Jan Madole, *Oklahoma State University*

STUDENT: Candyce Lindsay, *Arizona State University*
ADVISOR: Dianne Horrocks, *Idaho State University*

STUDENT: Rosemary Madnick, *Charles R. Drew University of Medicine & Science*
ADVISOR: Joyce Freedman, *University of California-San Francisco*

STUDENT: Erika Oden-Cottingham, *Cincinnati Children's Hospital Medical Center*
ADVISOR: Diane Barrett, *University of Wisconsin-Madison*

STUDENT: Theresa Partell, *State University of New York at Binghamton*
ADVISOR: Marti Dunne, *New York University*

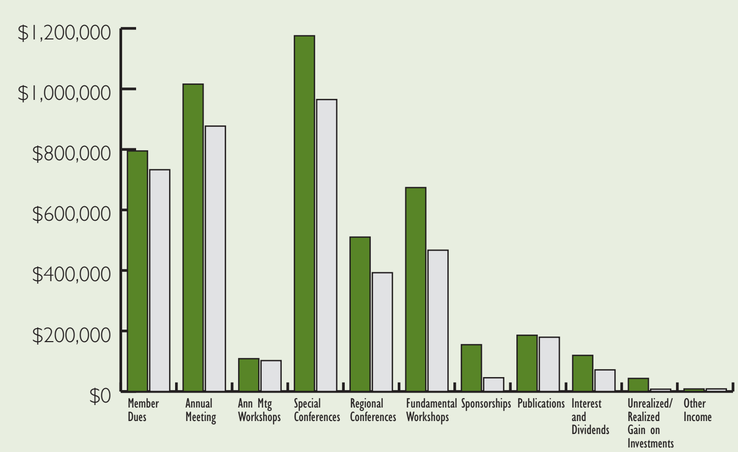
STUDENT: Ann Smith, *Michigan State University*
ADVISOR: Erica Kropp, *University of Maryland Center for Environmental Science*

STUDENT: Maria Valero-Martinez, *University of Miami*
ADVISOR: Mary Beth Curtin, *State University of New York at Binghamton*

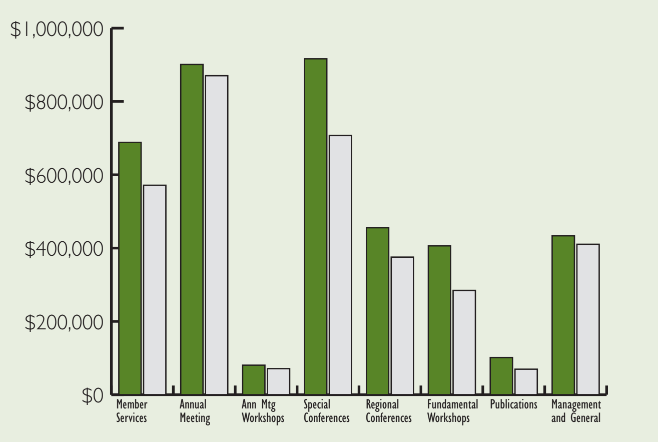
STUDENT: Jeanne Ware, *New College of Florida*
ADVISOR: Alice Tangredi-Hannon, *Yale University*

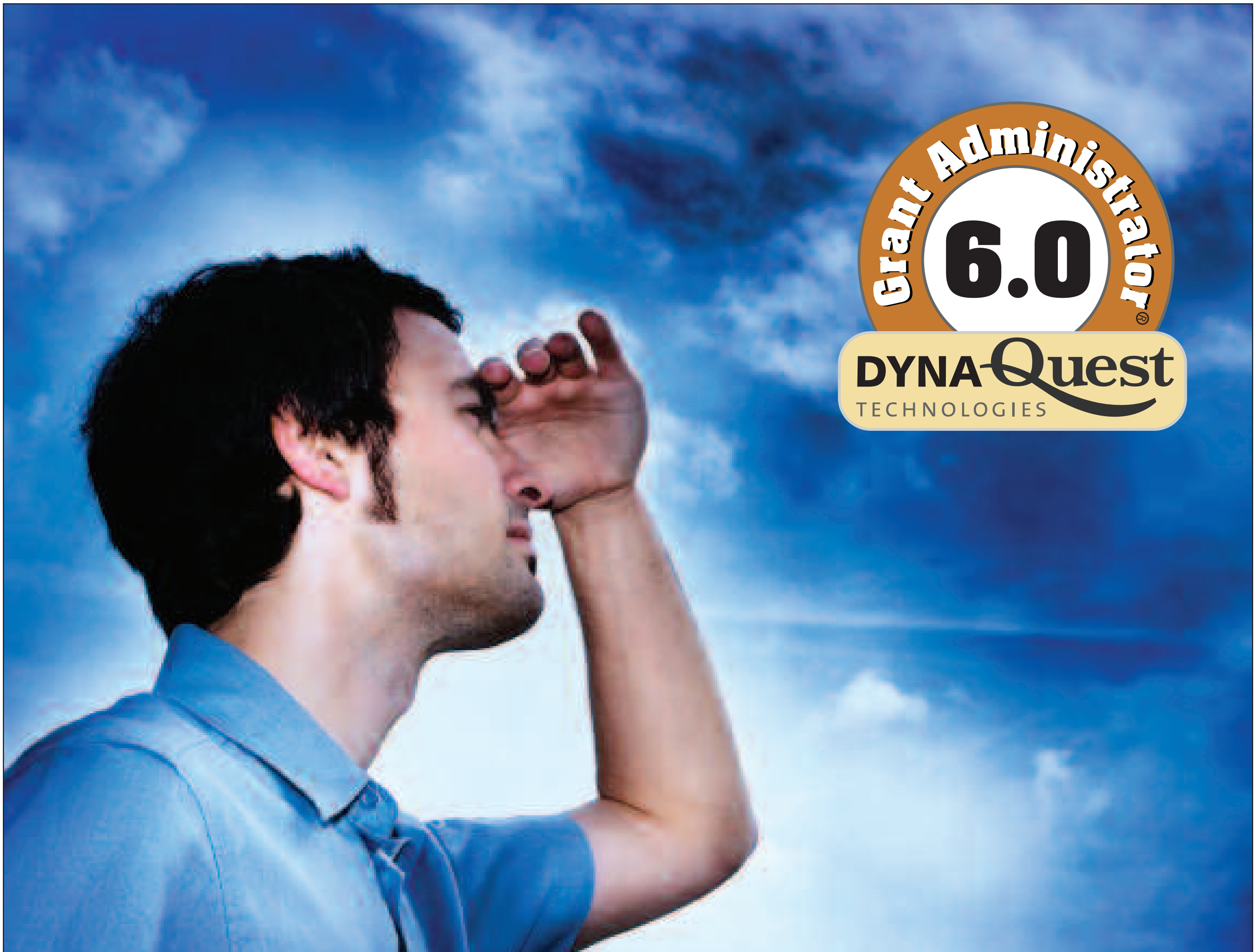
The Institute starts in January 2008, however, those students who are attending the 49th Annual Meeting will have the opportunity to meet their advisor. Gale Wood, Comet Consulting, is the facilitator for the eleven month course which meets virtually and in person. Good luck to the LDI participants with a valuable year ahead!

Revenues



Expenses

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NCURA Calendar of Events

ONLINE TUTORIALS

Clinical Trials..*September 10 – October 26, 2007*

FUNDAMENTALS OF SPONSORED PROJECT ADMINISTRATION

San Francisco, CA ....*December 3-5, 2007*

FINANCIAL RESEARCH ADMINISTRATION WORKSHOP

San Francisco, CA ....*December 3-5, 2007*

ONLINE CHATS

An International Look at IP and Tech Transfer..*December 12, 2007 (2:00-3:00pm EDT)*

WEBINARS

TBA..*December 6, 2007 (12:30-2:00 pm EDT)*

2008 NCURA TV BROADCAST SERIES

Managing Cost Issues.. January 22, 2008

Effective Proposal Development ....March 11, 2008

Complex Agreements.. June 10, 2008

Good Customer Service for Research Administrators: How to Support the Research Endeavor at Your Institution..................................September 9, 2008

NCURA ANNUAL MEETINGS 2007 AND 2008

49th Annual Meeting, Washington, DC ....*November 4 – 7, 2007*

50th Annual Meeting, Washington, DC ....*November 2 – 5, 2008*

2008 REGIONAL MEETINGS

Region II, Pittsburgh, PA ....*April 27-29, 2008*

Region VI/Region VII, Portland, OR..*April 27-30, 2008*

Region IV, Kansas City, MO..*May 2-6, 2008*

Region V, Oklahoma City, OK ....*May 4-7, 2008*

Region I, Brewster, Cape Cod, MA..*May 6-9, 2008*

Region III, Isle of Palms, SC..*May 11-14, 2008*

For further details and updates visit our events calendar at www.ncura.edu

NCURA

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NEWSLETTER DEADLINES:

December/January 2007/2008 Newsletter

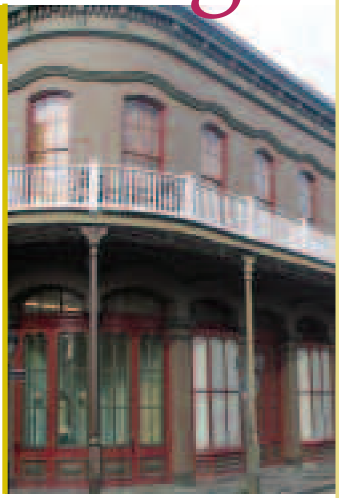
Submission of Articles: *November 16, 2007*

Space Reservation for Ads: *November 16, 2007*

Submission of Ads: *November 26, 2007*

FRA IX – Financial Research Administration in a Climate of Change

New Orleans, LA | February 24 – 26, 2008



NCURA will be having its 9th Financial Research Administration Conference February 24 – 26, 2008 in the famous French Quarter of New Orleans. FRA IX will include over 90 educational offerings designed for the newcomer, those in management and for the senior level research administrator, including a full day of workshops and senior level seminars.

The newly renovated Marriott New Orleans will be our home during FRA IX, and we look forward to seeing you at the annual meeting for the financial research administration community. Registration for the conference will be open immediately after this year's 49th annual meeting in November.

Mark your calendar!

FRA IX Program Committee

Program Co-Chairs:

Vivian Holmes, Harvard Medical School

Tammy Raccio, Yale University

Program Committee:

Mike Anthony, University of Washington

Greg Bedell, Huron Consulting Group

Michelle Codd, Vanderbilt University

Bruce Elliott, Northwestern University

Patrick Fitzgerald, Harvard University

Kimberly Hesse, Harvard Medical School

Jackie Hinton, University of Utah

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Jim Wrenn, IT Works, Inc.

Susan Zipkin, Brigham & Women's Hospital

September/October 2007

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