NCURA Annual Election Outcome

Wade Wins NCURA Vice Presidential Election
Fredenberg and Wallen also Elected

Laura Wade, Director of Finance, Contracts and Grants for the University of Texas Medical Branch at Galveston has been elected Vice President/President-elect of the National Council of University Research Administrators. The current Treasurer of NCURA, Wade has been a member since 1988 and has served NCURA in a number of ways over the past 15 years. Having just finished a term as a substitute faculty for the Fundamentals of Sponsored Project Administration Workshop, Wade has also served as Chair and Secretary/Treasurer for Region V, as a member of the Financial Management Committee, and as a member of the Financial Research Administration V Conference Program Committee.

Serving on the Board of Directors and as Treasurer for the past few years, Wade has seen close-up the growth of membership in recent years.

“I want to ensure that the necessary plans are in place to ensure our continuous growth…I will be searching for opportunities that will entice members to become active members of NCURA.”

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Seems the More Things Change, the More They Stay the Same

by Robert A. Killoren, Jr.

Research administration issues seem to have incredible longevity! I love going through the archives of Penn State to find things related to research. A while back, I found what may have been the minutes of the first meeting of the “Council on Research” at Penn State held on February 6, 1928. The list of attendees reads like a list of building names on today’s campus... Hetzel, Kern, Sackett... The meeting set up topics for the Council to address in the future. They included:

Industry-university relations
“To what extent should Penn State enter into agreements with commercial concerns and under what conditions?”

Intellectual property rights
“What should be the institutional policy in reference to patents and patent rights?”

Relationship of graduate education and research
“To what extent can the research work of the Graduate School best fit into the whole research problem?”

Interdisciplinary research
“What studies should be made to avoid duplication of research in the various departments of the College?”

And research cost accounting
“The question of proper cost accounting in order to determine the conditions under which we can undertake research problems must be determined.”

Seems the more things change, the more they stay the same.

Bob Killoren serves as Associate Vice President for Research, Office of Sponsored Programs, Pennsylvania State University and is NCURA’s Immediate Past President.
This required the agency to identify tasks conducted internally that could be outsourced, and then issue an RFP to carry out those tasks. Agency personnel are allowed to compete with the private sector in bidding, and though NIH won the competitive bid process to conduct grant administrative support activities, it will result in a significant reorganization. Details of the process and reorganization are available at http://extramuralmeo.nih.gov

Briefly, the NIH has restructured its extramural support services under the Office of the Director, Office of Administrative Operations and the Division of Extramural Activities Support (DEAS). DEAS began formal operations on October 3, 2004, the first day of fiscal year 2005. When fully staffed, DEAS will be NIH’s largest division with about 630 employees. This is a reduction from the approximately 900 employees identified as conducting similar grant support activities under the previous organizational structure.

Under DEAS, NIH will centralize support services for Peer Review, Grants Management and Program functions. What this strategy represents is a major departure from NIH’s current structure, through which each Institute and Center carries out its own extramural activities support services. DEAS, part of the Office of the Director, will provide extramural activities support services to all Institutes and Centers but will not be aligned with any one. NIH officials recognize that this undoubtedly will introduce a major ‘cultural’ change at NIH in the working arrangements between professional and support staff, and with the external research community, with an attendant set of problems above and beyond those typically associated with change. For example, in many instances support staff formerly assigned to an individual or group of professional staff members will now be serving a larger group and, perhaps providing a different set of services.

By and large we had very good working relationships with NIH grant management and program staff, and with NIH policy and extramural research officials. This includes the newest management team led by Dr. Norka Ruiz-Bravo. Such a major reorganization will not be easy, and will require a lot of patience and cooperative spirit to make it work. If you have spent more than a few years at the same institution, as I have in the past, you have probably gone through a restructuring, and know that sometimes they work well and other times they are difficult and demoralizing for the affected staff. I am always reminded of the quote attributed to the Roman author Petronius Arbiter:

"We trained hard... but it seemed that every time we were beginning to form into teams we would be reorganized. I was to learn later in life that we tend to meet any new situation by reorganization: and what a wonderful method it can be for creating the illusion of progress while producing confusion, inefficiency and demoralization."

Tory De Crappeo serves as the Associate Director for the Council on Governmental Relations (COGR).
Staying Ahead by Looking Ahead

By Pat Fitzgerald

Each year thousands of NCURA members benefit from one of our many professional development opportunities. If you were one of the record numbers of attendees at our 45th Annual Meeting in November 2003 or FRA V in San Diego in March 2004, it will come as no surprise to you that total attendance for these two meetings exceeded 2,400. We have experienced a trend in recent years of record-breaking attendance at our major conferences and we anticipate that our 46th Annual Meeting in November 2004 will establish a new record. It may surprise some members to learn that increased attendance at meetings has not diminished demand for other NCURA professional development opportunities. In fact, the opposite is true. Higher attendance at our meetings has increased awareness of the quality of NCURA programs and this has stimulated interest in all NCURA programs and increased our membership. We have been able to sustain interest in NCURA programs by offering a variety of options designed to meet the needs of our members and by making these programs affordable and convenient.

I attribute this success to our ability to be forward-thinking, anticipating the needs of our members, and utilizing the latest technology to deliver our programs. In short, we stay ahead by continually looking ahead. With so much success it would be easy for us to become complacent, be content with our existing programs and not venture into new areas. But complacency and contentment are not characteristics of this organization. We strive to remain on the cutting edge of professional development programming and continue to find new and creative ways to reach more members, while maintaining the high standards of quality that has been NCURA's trademark. For example, this year we introduced a six-week on-line training program on Subcontracts. The popularity of this program exceeded our expectations and the successful introduction will enable us to offer additional programs utilizing this innovative format. NCURA achieved another milestone in July when we entered into a partnership agreement with the Drexel University College of Medicine. This partnership will enable NCURA members to earn an advanced degree in Research Administration and receive a significant tuition savings.

One of my objectives as NCURA President has been to emphasize the importance of an evaluation process for all NCURA programs. All participants in NCURA programs routinely receive, and are encouraged to complete, program evaluations. Participant evaluations are important to us and they are taken very seriously, but they are not sufficient. We need to periodically assess the quality of our programs from perspectives other than the attendee's experience. We need to perform a comprehensive assessment of our recurring programs to ensure that the content is current, the instructors are well-trained and the program is delivered in ways that promote effective learning. With this objective in mind, the Professional Development Committee (PDC) has increased its evaluation capability by creating an Evaluation Sub-Committee. This sub-committee includes NCURA members experienced in creating research administration and compliance training programs and their expertise will greatly enhance NCURA's evaluation capability.

This summer NCURA engaged an adult learning specialist to do an on-site evaluation of our signature program, “Fundamentals of Sponsored Projects Administration.” “Fundamentals” has been an extraordinarily popular for more than twenty-five years and has provided basic training in research administration for thousands of NCURA members. As a former Fundamentals faculty I can attest firsthand to the great success of the program. But Fundamentals is substantially the same program it was twenty-five years ago and an evaluation of the curriculum and the format is long overdue. I believe the course can be updated to make it an even better learning experience. I also believe we should consider alternatives to the traditional Fundamentals program. One option is to provide the Fundamentals content in a self-paced, on-line version. Rather than offer only a survey course that touches on every aspect of Research Administration we should consider splitting the Fundamentals into separate courses with less breath of coverage but more depth. For example, we could offer courses on Financial Research Administration or the Basics of Pre-award Administration. These courses could complement the material presented in Fundamentals by delving deeper into specific topics and could provide a more focused, job-specific training experience.

With today’s technology and our know-how there are many possibilities for re-tooling Fundamentals, or supplementing it with training that is more focused. I am using Fundamentals as an example because it is the NCURA program I am most familiar with.

The evaluation process I describe here should be used for Sponsored Programs Administration– Level II, and other recurring programs. As NCURA membership and programs continue to grow I believe it becomes more critical that we have a process in place for periodic evaluation, and continuous improvement, of all NCURA programs. I believe the new Evaluation Sub-Committee will be a major step in the establishment of a comprehensive evaluation process and I applaud Garry Sanders and the PDC for taking this important first step. NCURA has an exceptional track record for providing new and innovative programming but our challenge for the future is to sustain our success by ensuring that our programs remain current, cutting-edge, and cost effective. We do this by continually assessing our members needs and continually evaluating our programming to ensure that the quality remains high and the content is available to as many members as possible.

Patrick Fitzgerald is Director of Cost Analysis at the Massachusetts Institute of Technology and President of NCURA.
Elections

Two Board Slots Filled

Judy Fredenberg, Executive Assistant to VP of Research and Director of Federal Relations, University of Montana and Denise Wallen, Special Assistant to the Vice Provost for Research, University of New Mexico have been elected to the Board of Directors.

An active member on the regional and national level since 1992, Fredenberg has contributed to numerous sessions as a panelist and moderator. As an Annual Meeting Workshop Coordinator, Member of the Nominating and Leadership Development Committee and Chair of Region VII she has contributed to the organization in a wide variety of areas. Fredenberg believes strong leadership is a result of successful team work. “As a member of NCURA’s Board of Directors, I will contribute as part of this team. I will work to maintain a strong and healthy structure and participate in the strategy to provide foresight and flexibility for the future.”

Wallen has been in the profession for 20 years and has contributed to NCURA in many ways. Currently Chair of Region VII and member of the NCURA’s International Task Force, Wallen has been active throughout her tenure with NCURA. In addition to speaking at numerous national and regional meetings, Wallen has served on the former Executive Committee, the Electronic Research Administration Neighborhood sub-committee, and the Professional Development Committee.

“As a member of the Board, I would welcome the opportunity to contribute to the process of policy determination and support of NCURA’s mission and goals as well as advise and counsel.”

Wade, Fredenberg and Wallen take office on January 1, 2005.

Annual Meeting Update

One of the mainstays of the NCURA annual meeting is the NIH and NSF updates. This year will be no exception as both sessions will be presented in two time slots to ensure that you have an opportunity to attend. In addition, on Tuesday USDA representatives will provide an update on opportunities and initiatives at the Department of Agriculture. The Federal Demonstration Partnership (FDP) will provide information on progress of their current initiatives of electronic research administration, reducing administrative burdens and regulatory streamlining. There will also be an OMB update, an NIH ERA update, a Federal/Washington update of Responsible Conduct of Research, a grants.gov update, an update session that will discuss what the NIH reorganization will mean to grantees, an update session on understanding university federal relations and a cognizant agency update that includes representatives from DHHS, DCA and ONR.

Most of our offices include IT staff or have IT resources available to assist us in implementing, expanding and maintaining automated sponsored program systems. In recognition of this, the program committee has provided sessions that you and/or your IT staff will find interesting to attend. In recognition of the increased and continued importance of IT staff in sponsored programs, this years’ meeting will include the first IT open forum designed especially for professional networking and exchange for IT professionals working in the sponsored program environment. There will also be IT sessions on ERA at small institutions, electronic routing and automated workflow processes, integrating agency ERA requirements in business systems, coping with diverse electronic requirements and new electronic tools to provide electronic routing and instant database updates.

Presently, registrations for the annual meeting are ahead of last year and we anticipate attendance at the meeting to climb over 1800! We hope to see you there.

Jerry Fife is the 2004 NCURA Vice President and serves as the Assistant Vice Chancellor for Research Finance, Vanderbilt University.

Curt Coffman, Co-author of "First, Break All the Rules" to Deliver Keynote

In the past 5 years, Curt has presented on the topic of creating great places to work and the significant impact upon individuals, families and corporate growth. Based on extensive empirical evidence, his message focuses on specific actions managers can take to make their organizations better today! Equally important, Curt presents a simpler, truer model complete with specific actions that will allow your organization to achieve significant improvements in productivity, employee engagement and “customer” satisfaction.

The preliminary program for FRA VI Responsible Stewardship in a Complex Environment will be available in late October. If you are attending the 46th Annual Meeting, make sure to stop by the FRA VI booth and stay tuned for the Preliminary Program and registration information. Expanded session tracks and a strong slate of workshop offerings make FRA VI the source for information and networking for the Financial Research Administration community.

We will be staying at the Contemporary Resort in Disney World. So plan on a fantastic conference, and a warm, beautiful location for February, 2005!

See you there!
In 1998, after a series of high profile internal control failures in areas believed to have adequate control systems, The University of Texas System Board of Regents (U.T. System) challenged executive management to design, implement, and operate an institutional compliance program. The expectation was that the designed system would provide an on-going, real-time assessment of the compliance profile of U.T. System and each institution for executive management and the Board of Regents. This was quite a challenge given the size and diversity of the U.T. System.

U.T. System is comprised of sixteen entities (nine academic, six health-related and a central administration) with a combined annual operating budget of $8.5 billion. There are over 185,000 students at campuses ranging in size from 5,000 to 50,000 students and over 87,000 employees. Additionally, U.T. System has approximately $14 billion in endowments, a $4.6 billion capital improvement program and $2 billion in annual sponsored research.

Design and Implementation

The first step in the design process was the appointment of an ad hoc committee representing key stakeholders in the university community including a president, business officers, physicians, faculty, researchers, and internal audit. U.T. System was provided guidance through the design and development of an action plan by a consultant with experience in implementing an institutional compliance program in an academic/medical environment. The action plan outlined the implementation process which included four primary elements:

- Building the infrastructure
- Creating compliance awareness
- Managing critical risks
- Appraisal and renewal

We began building the infrastructure by assessing time and resources requirements, appointing a system-wide compliance committee, institutional compliance committees, and establishing a compliance function/office at each institution. The institutions developed an infrastructure that would work within their culture, while ensuring an appropriate coverage of risk. For example a smaller institution assigned responsibility to a single individual, while a larger more complex institution created an office of three to five individuals.

To create compliance awareness, each institution developed a Standards of Conduct Guide, a General Compliance Training Program, and a confidential reporting mechanism to report instances of suspected non-compliance. The General Compliance Training programs included training on the Standards of Conduct Guide and compliance areas affecting most employees.

The most critical element of the implementation process was the management of critical risks. We began with a risk assessment to identify organization-critical compliance risks. Eight risk areas were identified as common to most institutions and included: athletics, endowments, environmental health and safety, financial matters, human resources, medical billing, research and student financial aid. For each of these risks, detailed risk assessments and risk management plans were developed. The risk management plans included designation of a single responsible party, development of monitoring plans, specialized training plans, and reporting plans.
Further, continuous appraisal and renewal activities are extremely important to gain on-going assurance regarding the management of organization-critical risks. These activities include:

- Addressing instances of non-compliance;
- Performing assurance activities including inspections, agree upon procedures, audits, and peer reviews; and,
- Developing action plans to address newly identified risks due to the changing compliance environment.

Once implemented, the institutional compliance program provides a framework for continually identifying and addressing compliance risks in a changing environment.

**Application Example**

The principles of the overall program can also be utilized in addressing a particular high risk area at an institution. For example, at several institutions, this process was completed in the high-risk area of research. The institutions created ad hoc committees comprised of the:

- Associate Vice President for Research
- Director, Office of Accounting
- Director, Office of Sponsored Projects
- Director, Office of Research Support and Compliance
- Assistant Director, Office of Institutional Compliance

The ad hoc committee then identified multiple research-related risk areas including: financial issues, sponsored projects, institutional review board, animal research, conflict of interest, scientific misconduct, and bio-safety. For each risk area, using a standardized template performed a detailed risk assessment (see example below). For each individual risk identified, the committee further identified the exposure risk, controls in place, compared the current controls in place with best practices, and developed an action plan to address identified gaps in controls. The action plan contained the proposed changes to controls, training requirements, communication methodology, and identified on-going monitoring activities to ensure controls were operating as intended. Additionally, a responsible party and target date was established for each action plan item. The ad hoc committee identified several benefits while completing the risk assessments, including that it:

- Provided “cross-training” for key research administrators;
- Provided a “road map” for training future administrators;
- Identified several “oversights” in research compliance;
- Shifted the culture from one of “directives and edicts” to risk management by the correct individual; and,
- Provided a process that could be used universally to address risks in the areas of research administration, research centers, academic departments, research groups, and principle investigators.

Completion of the risk assessments required the input of key individuals and took several months. However, after final completion, the institution believed it provided guidance and direction for enhancing the research compliance program to reduce the instances of non-compliance. More information on this specific project can be found at https://www.utsystem.edu/compliance/workgroups/research-basic.htm.

Kimberly Hagara is Manager of Audits, System Audit Office, The University of Texas Systems.

### Example

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Kimberly Hagara is Manager of Audits, System Audit Office, The University of Texas Systems.
August 9, 2001 President George W. Bush approved 78 human embryonic stem cell lines eligible for use in federally financed research. This approval granted by President Bush seemed to represent a major breakthrough in paving the way for the discovery of new treatments for diseases such as Diabetes, cardiovascular disease, Parkinson's disease, Alzheimer's disease and spinal cord injury. However, President Bush's approval has turned out to be a very hollow victory for the biomedical research community since many of the cell lines approved by the President in August 2001 have not been made available to researchers.

On April 28, 2004 a letter was signed by 206 members of the House of Representatives and sent to President Bush. This letter documents the congressional membership's appreciation for President Bush's support of stem cell research, but also points out the following challenges to the executive order issued by President Bush:

- While it originally appeared that 78 embryonic stem cell lines would be available for research under the federal policy, more than two years after August 9, 2001, only 19 embryonic stem cell lines have been made available to researchers.
- All available stem cell lines are contaminated with mouse feeder cells, making their therapeutic use for humans uncertain.
- Scientists are reporting that it is increasingly difficult to attract new scientists to this area of research because of concerns that funding restrictions will keep this research from being successful.
- Cutting edge research in this field is moving overseas.

Leadership in this area has shifted to the United Kingdom, which sees this scientific area as a cornerstone of its biotech industry and which is leading the International Stem Cell Forum, made up of scientific agencies from nearly a dozen countries.

Fifty-eight members of the U.S. Senate have signed a similar letter to President Bush asking him to consider expanding his current policy on the utilization of federal funds for research on human embryonic stem cells.

The reader might question, "What's the problem?" Researchers can still use funds from private donors and industry sponsors and the latest statistics indicate that only 40% of the funding for biomedical research and development comes from the federal government while 50% of the funding is supported by the pharmaceutical industry! However, the vast majority of the funding from the pharmaceutical industry supports clinical trials on new therapeutic agents and 70% of the clinical trials performed in the United States are funded by the pharmaceutical industry. The National Institutes of Health (NIH), however, funds 30% of all the biomedical research and development performed in the United States and 69% of those NIH research dollars support basic researchers who are developing new methodologies and treatments for diseases and disorders.

The underlying issue is that the clinical trials on novel therapeutic agents developed utilizing human embryonic stem cells cannot be performed until the basic research is performed proving or disproving the viability of these therapeutic agents. The federal government, not private industry or private donors, is the primary sponsor of fundamental research in the Academic Research Centers across the United States that would discover and perfect these novel therapeutic agents.

Former first lady Nancy Reagan spoke at a Juvenile Diabetes Research Foundation fund-raiser in May 2004 and pointed out that President Reagan and others afflicted with Parkinson's and Alzheimer's disease could be helped with a cure from research performed using embryonic stem cells. Mrs. Reagan stated "Ronnie's long journey has finally taken him to a distant place where I can no longer reach him...because of this I'm determined to do whatever I can to save other families from this pain." Any advances made in research utilizing embryonic stem cells will come too late to help President Reagan and too late to help my father who died from complications from Parkinson's Disease five years ago. However, it may not be too late for many others including my Mother who suffers from the effects of Parkinson's Disease.

Scientists not politicians should make research decisions.

Tom Wilson, Director, Grants & Contracts, University of Texas M.D. Anderson Cancer Center.
**Program Income – An Interesting Topic in Grants Management**

by Winifred A. Schum

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**How** do you determine if a project has generated program income? What procedures must the institution follow to ensure that the sponsor regulations are followed? Is your policy up-to-date?

As grants management administrators, you should be aware of sponsored projects that have the potential for generating program income. Thinking that you do not have to be concerned with program income, probably means that you do. In any case, program income is an issue that is best to address upfront, rather than to have sponsors or auditors find after the fact.

Program income is not a black and white topic. There are plenty of gray areas that present opportunities for interpretation. It is important to take the time to ask questions, to communicate with faculty, technology transfer professionals and sponsors and to include a section on program income in your grants management education program.

In the early 1990s, the University of Minnesota (UMN) experienced a serious situation that heightened our awareness of program income-related issues and problems. This led us to revise our policies and procedures about program income. In doing so, we not only clearly defined the roles and responsibilities of principal investigators and other university administrators but we also communicated all of this information to everyone involved in grants management.

**What is program income?**

The definition of program income, according to OMB Circular A110 and 45 CFR, Part 74, is the following:

Gross income earned by the University that is directly generated by a sponsored activity or earned as a result of an award.

Examples of program income include:

- Fees for services performed, such as laboratory tests.
- Money from the use, sale, or rental of equipment purchased with project funds.
- Sale of supplies or equipment purchased or fabricated with project funds.
- Sale of software, tapes or publications.
- Sale of research materials, such as animal models or reagents.
- Fees from participants at conference or symposia.
- Royalties from patents and copyrights.

Exclusions from program income are the following:

- Patient care credits.
- Interest earned on advances of federal funds.
- Receipt of principal on loans, credits, discounts, etc. or interest earned on them.
- Taxes, special assessments, levies and fines raised by government recipients.

In sum, program income funds are those earned while a sponsored project is active. If a product or service is developed during the course of a sponsored project and the development of that product or service was funded by a sponsoring agency, then the net income received is considered program income.

**Reportable versus Non-reportable Program Income**

Program income comes in two flavors – reportable and non-reportable. This distinction is usually specified by the terms and conditions of the award agreement, but can still present interpretation challenges. For example, royalties from patents and copyrights are considered program income, but most award agreements do not require them to be reported as program income to the sponsor. However, most institutions’ technology transfer offices report royalties according to Bayh-Dole Act requirements. The basic message is that all program income should be reported to the institution’s financial accounting office, but not all program income needs to be reported to the sponsor.

**Policy and Procedures**

Since UMN was reviewed by NIH, there were a number of important issues that were incorporated into the UMN program income policy. I would recommend that these issues be considered in the development of any institutional program income policy: 1) a clear definition of program income, including specific citations from the regulations; 2) a specific statement regarding the requirements to report program income, and 3) a clear statement regarding roles and responsibilities.

At UMN we also determined that it was necessary to lay out specific procedures for handling program income at all stages in the grants management process - at proposal time, during the course of a project, and at final termination or closeout. As a result, we developed specific procedures to follow, prepared a flow chart to describe the process, provided forms for staff to use when handling program income, and highlighted detailed specific responsibilities for principal investigators about processing program income. These procedures can be found at http://www.research.umn.edu/regulations/.

We found that asking about anticipated program income on internal proposal routing forms raised the awareness of both principal investigators and administrators to its potential. In fact, NIH requires applicants to indicate, on the PHS 398 application form, whether program income might result from their projects. However, the opportunity to accrue program income often arises in the middle of a project and is not readily apparent at the beginning. It is therefore important that you widely communicate your program income policy and procedures amongst institutional faculty and staff.

Funding agencies use several alternative methods to handle program income. Federal award notices usually specify which alternative applies to a particular program. The alternatives are: Addition, Deduction, Add/Deduct, and Matching. NIH programs generally use the Addition method, unless an award notice specifies an exception.

**continued on next page**
The following example illustrates how these different alternative methods can be applied:

A sponsor awards $100,000 for a project. The project generates an income of $30,000.

- **Addition:** The total project cost could be $130,000. The additional funds should be kept in a separate account and would need to be reported to the sponsor.
- **Deduction:** The sponsor will now only fund $70,000 of the project’s costs. The sponsor will deduct the amount of program income from the total amount reimbursed.
- **Add/deduct:** If the sponsor limit is $25,000, then $25,000 can be added to the total project cost, and $5,000 will be deducted from the sponsor’s payment to reduce it to $95,000. The total amount available is $125,000.
- **Matching:** If the University were required to supply matching funds in the amount of $50,000, the University would now have to provide $20,000, using the $30,000 in program income as part of the match. Sponsor would still pay $100,000.

If this $30,000 is non-reportable program income, it should still be tracked in the financial system as program income, but should not be reported on any final financial report to the sponsoring agency. Also remain cognizant that program income funds should be spent before additional payments are requested from the sponsor.

**Is it an external sale?**

When a ‘product or service’ is developed using funds from the sponsor and the opportunity for a sale exists, consider when the sale will occur. Remember that if the sale occurs during the course of the project, the net income could be considered program income. However, since sales may extend beyond the life of the grant, a number of issues should be considered early in the process. Make sure that the product or service is priced to meet the actual cost of production. The sales agreement should address warranty/indemnity issues and the applicability of sales tax should be considered. And perhaps most important, communicate and coordinate your activities with the External Sales office in your institution.

**Lessons learned to promote best practices**

Remember to keep in mind the following to promote best practices:

- Clearly delineate in policy and procedures what steps to follow at each point in the grants management process.
- Consult the External Sales Office early in the process for advice on pricing and tax implications.
- Consult the Technology Transfer Office to discuss and clarify whether it is program income or royalty income and how to proceed in either situation.
- Develop an institutional compliance plan for monitoring.
- Treat all program income consistently in your accounting system. Deposit program income directly to the central financial administration office, not departmental coffers.
- Be alert to sponsor regulations, both federal and non-federal. For example, if an agreement does not specify how to handle program income, UMN considers it non-reportable and handles it as an external sale. However, it is important to carefully review each agreement. We have noticed that some non-federal sponsors are incorporating specifications for handling program income into their agreements.
- Communicate your institutional policy and procedures widely.
- Educate principal investigators and administrators about the issues related to program income.

**Conclusion**

Program income is a complex topic. It is critical that your institution remains aware of the potential issues and risks associated with the generation of program income from sponsored projects. Having a well-defined program income policy and the process to effectively communicate and educate your principal investigators and institutional administrators to the policy is paramount. The University of Minnesota can bear witness that this is an area where you want to be ahead of the game. You do not want to find out that your institution had a major program income issue unbeknownst to you and now owes the federal government lots of money.

Winifred A. Schumi is Assistant Vice President for Research and Director, Office of Oversight Analysis and Research, University of Minnesota.
By now, many of you have submitted proposals via the PureEdge viewer to Grants.gov. In a previous article, I discussed the pros and cons of this technology choice. For many universities, the PureEdge solution will not scale well or can have some potential negative impacts given it is Microsoft Windows centric. Grants.gov has maintained all along that a system-to-system (S2S) interface would be forthcoming. Work is now underway to make the S2S interface a reality.

Recently, Grants.gov invited MIT to review and provide feedback on the requirements, design and reference implementation for the applicant S2S interface with Grants.gov. Since this stage is still very preliminary, MIT is the only institution providing input at this time. While we are just getting started and have only preliminary information to share, I felt it is important to begin to educate and communicate with the NCURA community about these recent developments.

For those of you not familiar with the term schema, think of it as a data set that may encompass multiple forms. For example, almost every agency has some cover sheet information and some budget information required on a proposal. All those data items get packaged together to create a schema.

There were approximately 52 individual schemas provided to MIT. Some of these schemas may be retired since the Research and Related (R&R) data set has been released for testing; although some may be added as each agency begins to provide their agency specific requirements to Grants.gov. While the agencies have not yet formally committed, I believe many of the agencies plan on using the R&R data set as their core data set and will augment with one or two other agency specific schemas to complete their application package. The R&R data set contains most of the information you would routinely see requested on proposals from research grant making agencies.

The success of this interface depends on MIT’s compliance to the opportunity schema. The opportunity schema defines the subset of the 52 schemas which must be included in the resulting XML file passed to Grants.gov for any particular solicitation. Although this may appear to be an overwhelming effort for the technical professional at first glance, applicant integrators should focus on the core set of forms schemas that relate to the highest volume of opportunities within the organization. That is, I do a lot of business with NSF, NIH, NASA and DOE but do very little business with DOJ and HUD. If I see a HUD specific schema that collects the amount of lead paint in a housing project, I can probably ignore that schema for now. In the event a faculty member applies to HUD, Grants.gov offers PureEdge packages to supplement the one-off or rare opportunities that contain form schemas that may not be supported by your internal system - one down and 51 to go.

While there are different ways to accomplish the S2S exchange, MIT and Grants.gov have agreed upon two aspects to get the reference implementation off the ground. First, the exchange will be a “push” from MIT to Grants.gov. This significantly simplifies the Grants.gov architecture and security model. Both MIT and Grants.gov understand that a push model make is difficult to manage peak volumes, is an inefficient utilization of system resources, and is difficult to simulate a production environment during load testing. However, we agreed that the push model will be used, and later, MIT may have to re-tool our system to accomplish a “pull” model whereby Grants.gov’s computer system actually initiates the communication and pulls the application from your local system.

The second mutually agreed upon aspect of our implementation is the use of simple web services rather than the use of ebXML. While both MIT and Grants.gov would like to use ebXML, the additional complexities that arise from this technology could put the success of the project in jeopardy. There are simply too many unknowns as ebXML emerges as a standard. Only some of the very largest corporations have been successful at implementing this technology. While both parties had a desire to use the latest cutting edge technology, the edge of this sword is simply too sharp at this time. Therefore, we agreed that using simple web services with SOAP messages would be a low risk alternative at this time.

While there is still a lot of uncovered ground at this time, fortunately the schemas provided to MIT by the Grants.gov contractors, Northrop Grumman, are well documented and straightforward. It is obvious that a significant amount of time and resources were expended prior to MIT’s invitation to participate. Another very nice aspect of the reference implementation is that it includes both the client side and server side of the exchange. In this manner, MIT can create proposals in our internal system, populate the XML file, and then initiate the exchange with our own system which can act like Grants.gov. In this manner, we can also better understand the processes and business functions provided by Grants.gov and can better situate our system for the day when we are the recipient of the transaction (like an incoming notice of award, for example).

I know you now have more questions than I have provided answers. For those of you that have worked on an NCURA program in the past, you know that the program for the NCURA National meeting is done months in advance. Coincidentally, I was asked many months ago to lead a session which I entitled, “Integrating Agency eRA Requirements into Business Systems.” The focus of that session was to discuss XML, SOAP and the Grants.gov S2S interface. Looks like the leap of faith paid off and there will be something to discuss at that meeting. So, I hope to see you at the NCURA National meeting where I can provide a more in-depth discussion on the Grants.gov system-to-system interface. Who knows, with a little luck, maybe I will be able demonstrate a true system-to-system interface without smoke and mirrors.

Stephen Dowdy is Assistant Director, Office of Sponsored Programs, Massachusetts Institute of Technology.
It seems like only yesterday that we were attending the 2004 Spring meeting. I’m happy to announce that plans for the 2005 Spring meeting have begun. Co-chairs Ada Watson and Ben Prince are already hard at work. The meeting will be held in Mystic, CT on May 15 – 18, 2005. If anyone has any ideas or suggestions, please don’t hesitate to contact either Ada or Ben.

The call for nominations for Regional Secretary went to the regional membership. Norm Hebert, Chair of the Regional Nominating Committee is pleased to announce that candidates for the position of Secretary are: Thomas Egan, Massachusetts Institute of Technology; Stacy Riseman, Worcester Polytech Institute; and, Gary Smith, Massachusetts General Hospital. An announcement calling for electronic balloting was sent out during the first two weeks of October. All votes must be cast no later than November 4, 2004. The new RADG schedule for the 2004 – 2005 is set. The first meeting was scheduled for October 19th. Please check the regional website at http://web.mit.edu/osp/www/ncura/ for other scheduled meetings.

Ben Prince is Chair of Region I and Administrator for the Meyers Primary Institute, University of Massachusetts Medical School.

REGION II
Mid-Atlantic

Since parking on our campus is once again a highly competitive sport, I know that the NCURA 46th Annual Meeting can’t be too far in the future. In fact, the dates are October 31 – November 4. So, if you haven’t registered for the meeting, reserved your room, planned your travel, and made arrangements for your absentee ballot, do it all today!

And don’t forget to visit the Region II booth on Main Street USA (in the exhibition hall) between 7 and 9 p.m. on Tuesday evening. Tammy Custer and several other Region II members are planning a fun evening that you won’t want to miss. At the booth, you will be able to enter the drawing for a free registration at the Region II Meeting in Philadelphia. The winner will be selected at 8:45. Election Central will be open, so in addition to enjoying Main Street USA and the NCURA Party you will be able to follow the election returns. Our Hospitality Suite will again be 2174, with the usual hours: Sunday: Newcomers Reception 5-6 pm, Monday 10 pm – 1 am, and Tuesday 11 pm – 2 am.

The regional business meeting will be held immediately following lunch at 1:30 on Tuesday. Dessert, in the form of a selection of miniature pastries and fresh fruit, will be served at the meeting. In addition to reports from our standing committees, national committee members, and treasurer’s report, the results of the Region II elections will be announced. At the conclusion of the meeting, one lucky member will be able to select a non-video item from the NCURA store.

The Program Committee, lead by Jennifer Baron, is progressing well with plans for the spring meeting, titled “Research Administration: Life, Liberty and Leadership”, to be held in Philadelphia at the Crowne Plaza Hotel, April 17 -19. Mark the dates on your calendar. The theme of the meeting is how effective leadership can contribute to building effective, productive and rewarding research administration organizations. The plenary speaker will be Bruce James, U.S. Printer from the Government Printing Office. If you are interested in moderating a panel, contact Jennifer asap (jlb@jhu.edu).

Charlie Kaars is Chair of Region II and serves as the Assistant Vice President for Sponsored Programs Administration, State University of New York at Buffalo.

Ben at work….it isn’t as bad as it looks.
Despite the efforts of Charley, Frances and Ivan, Region III is still on the map and feeling strong. NCURA’s Region III, as well as thousands of others, have donated money and man-power to disaster relief for the affected areas of our region.

As our region gets back on our feet, the members of Region III keep on working. We have a lot of new members in the Region, several of which we met at the Regional meeting in May. The results of an on-line vote determined that our 2006 Regional meeting will be held in Key West, Florida. New Orleans, LA has already been selected as the site of our 2005 meeting. Tom Roberts and the Site Selection Committee continue to work on plans for our 2007 site.

Speaking of voting, don’t forget to submit your absentee ballot before attending the NCURA 46th Annual Meeting, October 31st-November 3rd. Have you registered yet? This year’s title is “Visionary, Visible and Vital: Research Administration in Changing Times” and it promises to be another fun, informative meeting. Dawn Boatman and Kelly Loach are actively working on the Region III Main Street USA booth for the National Meeting. Be sure you keep up with the ever-changing world of research administration. They are also encouraging to attend their respective business meetings…and provide input! This is another opportunity to remind you that Region IV is nothing without volunteers, and this is a great way to find out what is going on.

Don’t forget to stop by the hospitality suite as well. It will be in the same location as last year, and of course the room numbers will be posted at the meeting. Both the business meeting and the hospitality suite are great opportunities to meet and mingle with others in your region.

Jerry Pogatshnik, Region IV Web Administrator, has been busy upgrading one of the servers for the Region IV web site. While there may still be a few disruptions at times, please check the web site for updates on Region IV activities and its members. While you’re there, you’ll notice that Kim Moreland has returned to Region IV, and we welcome the return of Kim’s expertise to the region. If you have any news, please send it to Jerry for posting, too!

Planning a regional (Spring) meeting is a lot of hard work, and Chair-Elect Heather Offhaus is very busy working on a terrific meeting for 2005. This meeting is another joint meeting with SRA, to be held in Chicago, and Heather and her SRA counterpart are planning a plethora of great concurrent sessions and workshops to help you keep up with the ever-changing world of research administration. They are also planning a terrific evening event as well…one that should help you to experience some of what Chicago has to offer!

Pam Vargas (formerly Krauser) is the Chair of Region IV and is Director of Sponsored Programs at the Air Force Institute of Technology.

As is “normal” this time of year, many of us are preparing for the National meeting in DC. We are trying to clear our desks and make contact with the friends and colleagues we look forward to seeing each year. In the process, we discover that many of them have changed positions, relocated and/or retired during the year. In order to keep folks informed, I’d like to ask our membership to keep me informed as to any changes of this nature (both their own and others). When notified of these changes, I will try to include them in this article so that everyone can keep up with folks they’ve met that have moved and, in some cases, have retired or will be planning on retiring. This information can be sent to me at deborah-newton@utulsa.edu. Along those lines, I’d like to report that Michael Mathisen (our Treasurer through January 1, 2005) is now the Controller at Baylor Research Institute.

At our Regional Executive Committee meeting, a committee was selected to review/revise the current procedures for nominating individuals for the Region V Distinguished Service Award. No nominations were submitted for the 2004 Spring meeting and concerns were expressed that the nomination process was extremely cumbersome. The committee consists of Chair - Joan Howeth, The University of Oklahoma; Jan Fox, Texas Christian University; and Laura Wade, UTMB at Galveston. It is expected the Executive Committee will review those recommendations and they will be effective for next spring’s nomination process.

Planning for the Spring 2005 meeting is underway. If you would like to serve on the Program Committee or participate in any way, please contact our Vice Chair, Govind Narasimhan, at (409) 747-7937 or via e-mail at gonarasi@utmb.edu.

Debbie Newton is the Chair of Region V and serves as the Associate Director, Office of Research and Sponsored Programs for The University of Tulsa.

continued on page 19
Almost 10 months ago, at the annual meeting, the FRA Neighborhood Committee set out a plan under the leadership of our chair Kerry Peluso to assess, evaluate and improve the FRA service to the membership. We ventured to make the neighborhood more informative and conducive to member participation. We asked for suggestions and worked on continually upgrading the website. This has been a busy year for everyone in our own universities but in spite of that it certainly has been most enjoyable in serving in this neighborhood committee. There is definitely a ton of resources available and members willing to help at a moments notice. We definitely would like to continue to improve and expand the site with more meaningful and useful links and articles. We encourage members at large to sign up for the listserve – http://www.ncura.edu/members/neighborhoods/fratownhall.asp.

New Library Topics
The committee members took turns through the year, through quarterly assignments, in reviewing the various sections of the library and successfully updated or added to the various topic areas to sites that discuss issues that matters most to us in the post-award world. Check out the effort reporting links to as many as 25 university sites or audit survival guides and university A-133 certifications sites. In case you still do not find what you want or have a site that will be of interest to the members please send a quick note to the info@ncura.edu or by clicking the contact tab on the upper right hand corner of the screen.

New Publications
The revised edition of the Regulation and Compliance 2005 is scheduled to be released by October 2004. The book is sold through Atlantic Information Services, Inc., 800-521-4323.

Hot Item
Does effort reporting keep you awake at night? Well, it certainly has done so for some of our colleagues. Check out the July 16, 2004 Chronicle article entitled “Accounting for Researcher’s Time” on the settlements made by Johns Hopkins - $2.6M, Northwestern - $3.3M and Harvard - $3.3M on allegations of misrepresentation of time or effort spent on federally sponsored research. The link to the article can be found on our NCURA home page. In anticipation of member interest in this topic, we have updated the library with at least 20 more links on effort reporting policies and procedures and will highlight the relevant training and discussions in the upcoming events.

Arsenio Roldan is Associate Director, Office of Sponsored Research, Stanford University
3 SETTLEMENTS INVOLVING TIME SPENT ON RESEARCH

Three universities have reached settlements with the federal government over allegations that they misrepresented the amount of time scientists spent on federally sponsored research.

Harvard University
The settlement: The university and an affiliated teaching hospital agreed in June to pay a total of $3.3-million to resolve accusations that a researcher worked fewer hours than promised on a project to study aging. The accusations included other accounting and management issues, including salaries paid to scientists who did not meet one of the grant’s citizenship requirements.

The response: After discovering the accounting problems in 1999 and reporting them to the National Institutes of Health, Harvard created a new Office of Research Compliance to monitor accounting and also increased efforts to train its grant administrators.

Johns Hopkins University
The settlement: The university agreed in February to pay $2.6-million to settle claims that scientists there had knowingly overstated how much time they had spent on addiction research in the mid-1990s. The charges were brought by a whistle-blower who said that a researcher had billed the granting agency more than 100 percent of his available work time and had promised that the grant would support work by other employees, work that was never performed.

The response: The university noted that during the years in question, researchers with faculty appointments who worked on the studies were employed by a corporation, Bayview Physicians, whose financial accounts were not part of the university’s central payroll system. The corporation has since merged with the university.

Northwestern University
The settlement: The university agreed in February 2003 to a settlement of $5.5-million over charges brought by a whistle-blower that medical researchers at the university had reported spending more time on federally sponsored projects from 1995 to 2001 than they actually did.

The response: The university said it had taken steps to improve its regulatory compliance. The government’s complaint followed a period of rapid growth in the amount of federal research money the university received, and the university’s management systems did not keep pace, said Alan K. Cubbage, a university spokesman.

SOURCE: Chronicle reporting

Upcoming FRA events:
NCURA 46th Annual Meeting
Oct. 31 - Nov 3, 2004
Washington, DC

Enough said! This is the mother of all conferences where once a year we are able to focus on the key issues in the various presentations, workshops and discussion groups. Better yet, you have a chance to meet many of your colleagues in person.

Following are some FRA focus topics:
- Whistle Blowers Case Study- Lessons Learned (Northwestern)
- It’s a Wrap, Closeout Management
- A-133 Primer
- How Much Effort Goes into Effort Reporting?
- The ABCs of Cost Sharing
- Managing Performance and Motivating a Post-Award Staff
- Financial Aspects of Projects Conducted Outside of the US
- The Transfer Game: Unraveling the Mysteries of Transferring Grants To and From Your Institution
- Effort Certification Basics
- Financial Reporting Challenges
- Effort Certification: Issues and Suggestions
- Cost Transfer Issues
- Financial Compliance Issues in Sponsored Research Administration Workshop
- Post Award Fundamentals Part I – Managing the Daily Hurdles of Accounting for Sponsored Projects Workshop
- Introduction to the FAR Workshop
- Subaward Fundamentals Workshop
- Cost Sharing on Sponsored Projects: Is it Really Better to Give than Receive? Workshop
- An Introduction to Clinical Trials Workshop
- Post Award Fundamentals Part II: OMB Circular Overview Workshop

FRA VI
Disney World, Orlando Florida,
Feb. 20-22, 2005
See page 5 for information!
Kim Moreland to Receive NCURA Award for Outstanding Achievement in Research Administration

Kim Moreland, Director of Research and Sponsored Programs at the University of Wisconsin-Madison has become the eleventh recipient of NCURA’s Award for Outstanding Achievement in Research Administration. Moreland, a member of NCURA for over 20 years, received her MBA from the University of Kansas and served that institution for a number of years before moving on to become Director of Grant and Contract Administration at the Fred Hutchinson Cancer Research Center in 2000.

Most people in the research administration field have been touched by Kim Moreland. Whether having attended one of her numerous presentations on everything from Desk Rage: Why are we all so Angry? to the Fundamentals of Research Administration for the Computer Professional, those who connected with Kim all say the same thing. “She is the ultimate communicator.” Joanne Altieri, of the University of Kansas Center for Research, wrote, “What is unique to her is the human touch: the ability to communicate with warmth and humanity – and eloquence and elegance. If we all had those qualities, “research administration” might be something you would not have to explain to your children.”

Frances Degan Horowitz, President of The Graduate Center of the City University of New York, notes, “Kim Moreland brings to research administration a high level of technical expertise mixed up with a highly intelligent approach to solving problems, and stirred around with a considerable dose of common sense and humanity.”

Ada Sue Selwitz, University of Kentucky, the recipient of last year’s award, adds, “Kim has made a significant contribution to the profession through mentoring and serving as a role model. For me, she has been an inspiration. I am not unique. She has touched both the professional and personal lives of so many research administrators.”

Long-time friend and colleague, Steve Hansen of Southern Illinois University at Edwardsville shared, “Through her publications and presentations at regional and national conferences, Kim has had an impact on literally thousands of research administrators over the past twenty years. Her generosity in sharing her knowledge with us is made special by the manner and effectiveness with which she presents it.”

NCURA Past President, Cheryl-Lee Howard of the Johns Hopkins University added, “As skilled as she is at public speaking, I believe Kim’s biggest contributions to research administration have come because of her sense of fair play and her caring. More than anyone I know, Kim has been willing to take a chance on people – and to pick up the pieces efficiently and without fanfare if they disappoint her. She is, in my opinion, the original NCURA mentor, having helped many a newcomer to succeed.”

Kim Moreland will receive the Award for Outstanding Achievement in Research Administration at NCURA’s 46th Annual Meeting. The award will be presented on Monday morning, November 1, 2004, immediately following the Keynote Address.

Chuck Paoletti to Receive Joseph F. Carrabino Award

Last year, the NCURA Board of Directors established the Joseph F. Carrabino Award. The award, named after the late Joe Carrabino, NSF Grants Officers, recognizes a federal partner who has made a significant contribution to research administration, either by a singular innovation or by a lifetime of service.

This year, NCURA’s Nominating & Leadership Development Committee has selected Charles R. Paoletti, to receive the award. Chuck is the Executive Director for Acquisition Management, Acquisition, Office of Naval Research.

While a number of research administrators had wonderful things to say about Chuck, Tony DeCrappeo of COGR and Jane Youngers of the University of Texas Health Science Center at San Antonio summed it all up, “In a career spanning the constantly shifting political winds and management paradigms in research administration, Chuck has always been a strong voice for fairness and rationality. His talents and leadership ability are widely recognized in the research community, as evidenced by his selection to participate, usually in a leadership role, in nearly every important government-university initiative affecting the administration of research over the past 25 years, including the Federal Demonstration Partnership, the National Performance Review, the Presidential Review Directive on the Government-University Partnership, and the latest effort by the NSTC New Research Business Models. Chuck’s commitment, expertise, and collegiality exemplify the very best aspects of public service.”

Chuck Paoletti will be honored at the NCURA 46th Annual Meeting on Monday, November 1, 2005, during the Recognition Luncheon.
The NCURA Nominating and Leadership Development Committee has selected five long-time NCURA members to receive the Distinguished Service Award. Thomas Coggins, Director, Office of Research Compliance, University of South Carolina; Milton Thomas Cole, Assistant Vice President of Academic Affairs, Villanova University; Stephen Erickson, Director, Research Compliance and Intellectual Property Management, Boston College; Cheryl-Lee Howard, Assistant Provost, University Research Projects Administration, the Johns Hopkins University, and Regina White, Associate Vice President, Research Administration at Brown University will receive their award during the Recognition Luncheon, on Monday, November 1, 2004, at NCURA’s 46th Annual Meeting.

Each recipient has contributed to NCURA’s success in numerous ways and for many years. Since there is not enough room in this column to list all of the contributions these distinguished members have made to NCURA, we are only giving our membership a snapshot of their service:

- **Thomas Coggins** is currently the geographically elected member from the Southeastern Region to the NCURA Board of Directors and has served on the Board for a number of years both as a presidential appointee, an elected At-large member and as National Secretary. In addition to contributing his leadership at the national level, Tommy has served as a regional officer and has been a member of regional committees along with national standing committees. He has been a member of the Annual Meeting program committee, Annual Meeting Workshop Coordinator and Chaired the 1997 ERA Conference.

- **Milton Cole** is a past chair on NCURA’s Publications Committee. He has served NCURA as a member of the Board of Directors; Professional Development Committee; editorial review board of Research Management Review; Annual Meeting Program Committee; and, Annual Meeting Workshop Coordinator. He has also presented sessions at regional and national meetings. Plus…Milton is one of the founding members of NCURA’s band, Soul Source and the No-Cost Extensions.

- **Stephen Erickson** has also served as a regional chair and as NCURA President. As Vice President, he chaired the Annual Meeting and he has been a frequent speaker and workshop faculty at national and regional meetings. Steve has served on various standing committees, wrote NCURA’s micrograph, Subagreements Under Federal Prime Awards, and he is one of the designers and faculty of NCURA's recent six-week on-line subawards tutorial.

- **Cheryl-Lee Howard** is currently faculty for NCURA’s Sponsored Projects Administration Level II: Critical Issues in Research Administration. She began volunteering shortly after she joined NCURA in 1981. Since that time, Cheryl-Lee has served as in officer in both the New England and Mid-Atlantic Regions, and has held office at the national level as Treasurer and as President. She has chaired the Annual Meeting program committee and the 2002 NCURA University/Industry national conference. In addition to numerous presentations at regional and national conferences, Cheryl-Lee has been a member of various standing committees and has chaired the N&LDC and the Financial Management Committee. She was recently appointed as Chair of NCURA’s new Strategic Growth Task Force.

- **Regina White** has also held two different national offices --- Secretary and President. The co-chair of NCURA's 2004 summer conference on compliance, Regina has also chaired NCURA's Annual Meeting program committee and held the position of Annual Meeting Workshop Coordinator. She is a past Fundamentals faculty, has held positions on several NCURA standing committees and is the author of NCURA's Statement of Principles.

With over 4,500 members – and still growing – NCURA depends on its dedicated volunteers to help achieve its mission. We are pleased to have the opportunity to recognize five outstanding volunteers this year and hope you will join us in thanking them at this year’s Recognition Luncheon.

Congratulations!
NCURA and Drexel University Offer Educational Benefits to Members

NCURA and Drexel University College of Medicine have forged a unique partnership aimed at training future research administration leaders. NCURA members will receive reduced tuition on Drexel’s Master of Science degree in Clinical Research or Research Management and Development.

NCURA members also have access to Drexel’s Online MS in Clinical Research Organization & Management. This program is designed to meet the educational and professional needs of leaders in the clinical research arena. Taught by the world-class faculty of the College of Medicine, this online program offers a reputable degree in a convenient, highly interactive eLearning format.

Drexel University (est. 1891) is one of the nation’s premier academic and research institutions and is one of the largest private medical schools in the country. For further information, please contact NCURA for further information.

Noteworthy!

Milestones

DANIEL R. SEWELL is now Associate Provost for Research at Fielding Graduate Institute.

KATHLEEN HOGUE GONZALEZ is now the Vice President of Research Administration for the Children’s Hospital Oakland Research Institute.

KELSEY R. DOWNUM now serves as the Associate Vice President of Research for Florida International University.

RICHARD F. ANTONAK has moved to Massachusetts and is now serving as the Vice Provost for Research, Office of Academic Affairs at the University of Massachusetts at Boston.

LORI A. SELBY now serves as the Director of Sponsored Programs Services for Washington State University.

PATRICK S. BROWN is now the Assistant Vice Chancellor for Research and Sponsored Programs for the University of Mississippi.

PEGGY S. COTTEN now serves as the Director of Research Administration for Northeastern State University.

KIM MORELAND has returned to Region IV as Director, Research and Sponsored Programs at the University of Wisconsin-Madison.
REGION VI  
Western

Dear Region VI Colleagues:

I hope you’ve all had a great summer – I know I have! But where did the time go? It still seems as if there should be 3-4 months to prepare for the Annual Meeting. But, as I write this, it’s less than a month away. And, speaking of the Annual Meeting, it looks to be a great program, and a great time (how could it be otherwise with a band called Soul Source and the No-cost Extensions playing at the Tuesday night party?) If you will be attending the Meeting as a new NCURA member, be sure to drop by the Orientation for the New Member, which will be held twice: 6-7 pm on Saturday, October 30; and 3-4 pm on Sunday, October 31. And, please, everyone is welcome to the Region VI/VII Hospitality Suite to enjoy a libation or two with your colleagues.

This year, at the Tuesday night party, the Exhibitor Hall is going to be transformed into a Main Street USA. Each Region will have its own booth. If anyone is interested in volunteering to help man the booth, please send me an e-mail: david.mayo@caltech.edu.

I also wanted to remind you to start planning for the Region VI/VII 2005 Spring Meeting, which will be held at the San Marcos Resort in Chandler, Arizona. The dates are April 17-20. Gary Chaffins, Region VI Chair-Elect, is working hard on putting together a great program. If you are interested in helping out with the program, please feel free to contact Gary at Gary_Chaffins@orsa.uoregon.edu.

That’s it for now – I look forward to seeing you at the Annual Meeting.  

David Mayo is the Chair of Region VI, and serves as Associate Director of Sponsored Research at the California Institute of Technology.

REGION VII  
Rocky Mountain

Fall is upon us and school is back in session. It is time to mark your calendars for the upcoming National Meeting in Washington, DC. An annual event that we all look forward to because it provides us the opportunity for extraordinary professional development, knowledge acquisition, and networking. It is a time where we can renew our acquaintances with our colleagues, and strike new relationships.

Let me take this opportunity to welcome all our new members to the Region and encourage you to come and join us in DC. We enjoyed meeting some of you at our Regional Meeting in April, and hope to see you at the National Meeting. For those new members who could not participate in the Regional Meeting, we hope to see you in November!! And of course, it goes without saying that those feelings extend to our entire regional membership.

Please take the time to stop in the Hospitality Suite which we co-host with Region VI, and participate in our Regional Business Meeting.

This fall our region will be selecting a new chair, a member-at-large, as well as a Member from Region VII to the national board. Those selected will be introduced to you at our Business Meeting and will take office January 2005.

Our next regional meeting will be taking place at the San Marcos Hotel and Resort in Chandler, Arizona, April 17 - 20, 2005. Keep an eye on the regional website as information becomes available.

I look forward to seeing you in DC.

Denise Wallen is Chair of Region VII and is the Special Assistant to the Vice Provost for Research at the University of New Mexico.

Mark your calendars NOW for your Region’s  
2005 Meeting!

Region I:  
Dates: May 15 - 18, 2005  
Location: Mystic, Connecticut  
Hotel: Mystic Hilton

Region II:  
Dates: April 17 - 19, 2005  
Location: Crowne Plaze Hotel, Philadelphia, PA

Region III:  
Dates: May 15 - 18, 2005  
Location: Fairmont Hotel, New Orleans, LA

Region IV:  
Dates: May 1 - 4, 2005  
Location: Chicago, Illinois  
Hotel: Chicago City Centre Holiday Inn

Region V:  
Dates: April 10 - 13, 2005  
Location: Tulsa, OK  
Hotel: Crowne Plaza

Region VI/VII:  
Dates: April 17 - 20, 2005  
Location: San Marcos Resort, Chandler, AZ

Watch your Region’s website for additional information!
PUBLICATIONS ORDER FORM

Name__________________________________________
Title______________________________________________________________________________________
Institution__________________________________________________________________________________
Address_______________________________________________________________________________________
City __________________________ State ___________ Zip ________________
Phone __________________________ Fax __________________________
E-Mail ______________________________________________________________________________________
Web Site _____________________________________________________________________________________

PUBLICATIONS:

MONOGRAPHS
Clinical Trials Handbook– Second Edition, 2001  Member Price $37.00  Non-member Price $42.00  Quantity ___  Total Price $__

MICROGRAPHS
Cost Accounting Standards  $7.00  $8.25  ___  $
The Role of Research Administration  $8.75  $10.25  ___  $
Facilities and Administrative Costs in Higher Education  $8.25  $9.75  ___  $
Establishing and Managing an Office of Sponsored Programs At Non-Research Intensive Colleges and Universities  $8.75  $10.25  ___  $

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ORDER YOUR COPIES OF REPORT ON RESEARCH COMPLIANCE TODAY!

In 2004, regulators will focus more attention than ever on the diverse group of federal rules that fall under the umbrella of “research compliance.” This collection of rapidly changing government requirements—Can torpedo the reputation of even the most prestigious U.S. universities. Ranges widely from internal business issues (e.g., effort reporting) to grave matters of international security (e.g., select agents missing from your lab), Can have a very sudden impact on your funding and financial well-being, is the focus of complex rules and penalties from a dozen federal agencies, Is under constant review on Capitol Hill, where political volleyballs like the Patriot Act now have a direct impact on colleges, universities and teaching hospitals.

To help research administrators manage these complicated issues and do their jobs more effectively, NCURA and AIS are offering Report on Research Compliance, a unique three-part service. Full Year Subscription Includes: Weekly e-mail newsletters, Unlimited Web site access, Monthly 12-page print newsletters. For more information, visit www.ReportonResearchCompliance.com.

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National Council of University Research Administrators
P.O. Box 65765
Washington, DC 20035-5765
**Director of Research Compliance and Resources**

The Wistar Institute, a non-profit biomedical research facility located on the campus of the University of Pennsylvania, has an immediate opening for a Director of Research Compliance and Resources. Chosen candidate will develop and implement policies to ensure that the Institute complies with regulatory requirements for conducting research, including managing financial conflicts of interest; investigating scientific misconduct; ensuring proper care and use of laboratory animals; and reviewing human subjects research. Candidate will be responsible for conducting faculty training, developing corrective action plans and performing internal compliance audits. Additional responsibilities include oversight of shared research equipment and facilities.

Qualifications include a bachelor's or master's degree; Ph.D. or J.D. degree preferred; specialized training or experience in laboratory safety, research compliance and regulatory affairs; and five years experience in research administration or related field at an academic institution or federal regulatory agency.

We offer a competitive salary and comprehensive benefits package, including health/dental insurance and tuition assistance. Send resume to **Director, Human Resources, The Wistar Institute, 3601 Spruce St., Philadelphia, PA 19104. EOE/AA/M/F/D/V.**

[www.wistar.upenn.edu](http://www.wistar.upenn.edu)

**Baylor Research Institute Manager, Sponsored Research**

Baylor Health Care System is a not-for-profit, faith-based healthcare system, nationally and locally recognized as a vital link to quality medical care in the Dallas/Fort Worth Metroplex and across the region. Baylor Research Institute, located on the downtown Dallas campus, is seeking an experienced professional to direct the Office of Sponsored Research. The Office assists principal investigators and administrators in obtaining and administering research funding that includes government and non-government grants and contracts, industry contracts, and foundation funds.

The Manager develops and implements policies and procedures, advises investigators, coordinators and administrative staff regarding grants and contract matters, administers the grant application, negotiates contracts and grants, develops budgets, and determines acceptability of awards to the Institute. The Manager works with fiscal offices to monitor fiscal accountability and compliance with federal and state regulations and laws, as well as sponsored imposed contractual requirements and Institution policies and procedures. The Manager provides leadership, direction, training and development of investigators, coordinators and staff. The Manager participates in various committees and serves as the chair for the Institute’s Conflict of Interest Committee.

The position requires a bachelor’s degree in Business, Accounting, Public Administration or a closely related field and five years of professional experience in the field of sponsored project administration, preferably within an academic medical center, research facility or university. An advanced degree and experience with the development, preparation, review and execution of contracts is preferred. Extensive knowledge of research, sponsored programs, FAR, CAS, and OMB Circulars A-110, A-122 and A-133 are required. Excellent communication skills, analytical skills, and the ability to establish and maintain working relationships with constituents are required.

We offer a competitive salary and benefits package. **Qualified candidates, please apply online at: www.BaylorHealth.com.**

**Assistant Vice President & Director, Office of Research**

The University of Notre Dame, one of the nation's top 20 institutions of higher learning, is accepting applications for the position of **Assistant Vice President & Director of the Office of Research** to lead the University’s rapidly-growing sponsored research program activity.

This position will report to the Vice President for Graduate Studies & Research, and will direct the operations of the Office of Research. Responsibilities include promoting sponsored program activity within the University, and for the central administration of externally funded activities awarded to the University by public and private agencies.

**Duties:**
- Provide the vision, creativity and initiative to lead the Office of Research staff and its proposal submission process.
- Oversee University technology transfer staff and intellectual property disclosures, patenting, licensing, and reporting activity.
- Interpret and implement government and University regulations and policies.
- Direct the design and implementation of automated systems, policies, procedures, and training programs related to sponsored programs administration and technology transfer.
- Lead the administration of intramural grant programs and University cost share funds.
- Provide guidance on funding sources, proposal development, design, and budget.

**Qualifications:**
- Master’s degree required, Ph.D. preferred.
- Minimum 5 years of leadership experience in sponsored programs administration with demonstrated record of achievement in the administration of grants, contracts, cooperative agreements, and technology transfer.
- A working understanding of OMB Circulars and federal compliance regulations.
- Strong oral and written communication skills.
- Evidence of collaborative work within the university environment with faculty and staff at all levels.

Salary will be commensurate with experience and qualifications. The position is expected to be filled before December 1, 2004. For more information on the Graduate School please visit [http://graduateschool.nd.edu/](http://graduateschool.nd.edu/).

Applications for this position will be reviewed as they are received, and may be sent to:

**Dr. Jeffrey Kantor, Vice President for Graduate Studies & Research**

**416 Main Building, University of Notre Dame, Notre Dame, IN 46556**

The University of Notre Dame is an Equal Opportunity/Affirmative Action Employer

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**Saint Louis University, a Catholic Jesuit University dedicated to education, research and healthcare**

is seeking qualified applicants for the position of **Director, Sponsored Programs in the Controller's Office.**

**CHARACTERISTIC JOB TASKS AND RESPONSIBILITIES**

May include any and/or all of the following:

- Directs preparation and submittal of financial statements and cost reimbursement billings to federal and private awarding agencies; manages payment receipts and cash flow of federal funds drawdowns.
- Directs the annual Single Audit (OMB Circular A-133) of federally funded sponsored programs and individual program audits; reviews requests by sponsors.
- Interprets and ensures University compliance of awarding agencies’ regulations for post-award activities of sponsored programs; develops and implements University policies and procedures to coincide with requirements.
- Assists faculty, staff, and administrators to interpret and accomplish program objectives outlined in extramural sponsored program proposals; supervises staff.
- Performs analysis and prepares reports regarding sponsored programs for University administration; performs other duties as assigned.

**MINIMUM QUALIFICATIONS**

Education and experience equivalent to: Bachelor’s degree; supplemented with six (6) years of related experience including supervisory training and experience.

Established salary Range: $6,250-$8,126 per month

To apply: specify the requisition number (08736) and job title (Director Sponsored Programs) and attach your cover letter and resume and send to baslerpl@slu.edu. You may also fax the same to 314-977-8598.

**Saint Louis University is an Equal Opportunity, Affirmative Action Employer**
Marshall University seeks a highly-motivated, well-qualified individual to serve as Executive Director, IDEA (the Institute for the Development of Entrepreneurial Advances) at Marshall University. IDEA’s primary focus is the commercialization of technology and science developed on the Marshall University campus and in the region. This position reports to the President of Marshall University. Marshall University occupies campuses in Huntington and Charleston, West Virginia. The University has a total headcount enrollment of 16,500 students, over 2,000 full-time and part-time faculty and staff, and a budget of $188.5 million.

Requires a minimum of a master's degree in a relevant field (science, engineering, management, law, or health-related) and a minimum of six years of relevant supervisory and management work experience, including or supplemented by at least two years of responsible experience in the area of technology commercialization. It is preferred that this experience will have been demonstrated in a university environment.

The Executive Director is responsible for implementing, managing, and ensuring quality outcomes for all activities, programs, and initiatives of IDEA, including overseeing the protection of the University's patentable intellectual property and the conversion of innovations into marketable products and services. The Executive Director works to establish the University as a primary engine for fostering economic development in the region; develops business plans; seeks opportunities for faculty/staff to incubate new ideas and turn those into new enterprises; seeks to expand external funding to the University; serves as the University's chief advisor on technology commercialization; develops and manages operating budgets; and performs other related duties as required.

Applications in the form of a letter of interest, a current resume, salary requirement, and the names, addresses, and telephone numbers of three professional references who may be contacted during the search process can be submitted to: EXEC DIR IDEA SEARCH, c/o Human Resource Services, Marshall University, 207 Old Main, One John Marshall Drive, Huntington, WV 25755. Electronic documents can be sent to recruiting@marshall.edu. The position is available immediately, and the search continues until the position is filled. Salary is commensurate with education and experience. Excellent benefits package. A more detailed job description can be viewed at http://www.marshall.edu/human-resources/jobs/MU-Exec-Dir-IDEA.pdf .

Marshall University is an Equal Employment Opportunity/Affirmative Action employer.

Boston College Office for Sponsored Programs

Job Announcement

Assistant Director, Proposal and Award Administration

Reporting to the Associate Director, the Assistant Director for Proposal and Award Administration will be responsible for working with faculty, graduate students and other researchers on the preparation and submission of proposals. The Assistant Director will provide assistance to faculty, staff and graduate students in interpreting sponsor guidelines, developing proposal budgets, reviewing and submitting proposals and processing subagreements. The Assistant Director will be responsible for reviewing proposals for completeness and compliance with sponsor guidelines. The Assistant Director will provide direct assistance to faculty and graduate students in seeking external funding for research and training programs and in identifying and communicating potential funding source information through the use of various media such as workshops, written and/or electronic materials and the InfoOffice SPIN program. This position will be the campus administrative representative for the faculty Fulbright Program. In collaboration with OSP colleagues, the Assistant Director will conduct meetings, workshops and training sessions for individuals, departments and other groups of faculty, staff and graduate students on proposal development and submission procedures and various other sponsored programs issues.

Requirements

Bachelor’s degree and at least 5+ years experience in sponsored programs administration. Thorough knowledge of OMB Circular A-21 and other federal and non-federal sponsor regulations, guidelines and proposal formats. Expertise in identifying and interacting with external sponsors. Prior experience in an academic setting. Excellent communication and negotiation skills. Involvement in professional organizations such as NCURA and SRA. Familiarity with Boston College policies and procedures is preferred.

Please do your utmost to apply on-line at: http://www.bc.edu/bc_org/hvp/index_bcjobs.html

A letter of application and resume may also be sent to:
Office of Human Resources, Boston College, 140 Commonwealth Avenue, Chestnut Hill, MA 02467.
The Research Foundation of State University of New York (the “Foundation”) is seeking a highly motivated individual to join our Sponsored Programs Services team in the position of Contract & Grants Specialist. The Research Foundation is a private, non-profit corporation that supports SUNY by assisting campuses in their efforts to increase their volume of research; protect University-developed intellectual property; provide high quality administrative support for research conducted by SUNY faculty; and promoting philanthropy among individuals, corporations and foundations.

The Contract & Grant Specialist will be responsible for the following:

• Preparation and negotiation of sponsored program agreements including, contracts and subcontracts
• Act as liaison between centralized campuses and sponsors concerning policies and procedures related to sponsored program administration on a day-to-day basis.
• Approve establishment of project expenditure accounts in conformity with the sponsor’s award document and Research Foundation and SUNY policies.
• Provide guidance to the staff on the RF business system and the requirements for award establishment to ensure accuracy of the process.
• Provide training on pre and post award functions to campus personnel and assist with development of policies and procedures

Requires: Bachelor’s degree with significant experience of (5-7) years in management of the sponsored programs functions in a higher education environment. An advanced degree, or MBA and experience in working with faculty on proposal development and submission are highly desirable. Familiarity with Federal and State regulations pertaining to grants and contracts is essential. Must possess excellent written and verbal communication skills.

The Research Foundation offers an attractive compensation package. Qualified candidates should send a letter of interest, resume and salary requirement to: Velma McAdoo, Human Resources, 4th Floor, The Research Foundation of SUNY, P.O. Box 9, Albany, NY 12201-0009; fax 518-434-8348.

To respond via e-mail your subject line MUST contain “650 –” Contract & Grants Specialist SPS125” in order to be considered and e-mails should be sent to rfrecruit@rfsuny.org. Due to the anticipated volume of applications, individual responses acknowledging receipt are not possible.

Review of applications will begin immediately and continue until the position is filled. To find out more about the Foundation visit our Web site (www.rfsuny.org).

AN EQUAL EMPLOYMENT OPPORTUNITY/AFFIRMATIVE ACTION EMPLOYER

The Foundation is not an agency or instrumentality of the State of New York. Employees of the Foundation are not state employees, do not participate in any state retirement system, and do not receive state fringe benefits. The Foundation operates under a contract with The State University of New York and receives no directly appropriated state funding.
Applications are invited for this key strategic leadership role within one of Ireland’s leading universities, University College Cork (UCC), initially for a period of five years.

As a member of the senior leadership team, the Vice President for Research will be expected to provide the academic leadership required to ensure that UCC establishes itself as a leading European research intensive University. This position presents an exciting opportunity for a senior academic with extensive experience and a well developed research reputation to make a significant contribution to the future development of UCC’s and, indeed, Ireland’s research success. In his / her executive role and reporting directly to the President, the Vice President for Research is responsible for all matters relating to research policy, strategy, support and information services within the University. He / she shall be responsible for providing academic staff, post-graduate students and post-doctoral researchers with information, assistance, guidance and advice in obtaining the funds they require to undertake research in the University. The Vice President for Research also plays a significant role in the establishment and development of research centres, intellectual property patents and campus companies.

The successful candidate will, together with appropriate academic qualifications, have a record of academic credibility, commitment and integrity in teaching and research together with a thorough understanding of comparable international standards in research, teaching and learning and scholarship.

To find out more about this senior management career opportunity, candidates are invited to contact Mr. Noel Keeley, Vice President for Human Resources, University College Cork (telephone: 021 4903620 or email NKeeley@per.ucc.ie).

The University offers an attractive remuneration and, if necessary, relocation package to attract the very best candidates.

Closing Date: Friday, 12 November 2004.

Full details of this post are available at: http://hr.ucc.ie/employment.php

Application way of CV, including the names of at least three professional referees, to:
Mr. Noel Keeley, Vice President for Human Resources, University College, Cork, Ireland. Email: NKeeley@ucc.ie

University College Cork is an Equal Opportunities Employer

YOUR INSTITUTION COULD BE AT RISK

Your institution is awarded millions of dollars of federal research grants every year, are your financial compliance issues in order? Is your administrative infrastructure in place? If not, getting future grant awards might be difficult.

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The RACS assessment will provide a detailed report showing you how to minimize communication breakdowns among your staff, eliminate research faculty complaints, increase your service to the research community, and maintain audit compliance. Or if you prefer, RACS can implement our findings to ensure proper execution and ongoing compliance.

For more information or to initiate a pre- or post-award functional assessment, contact Charlie Tardivo today.

(216) 403-8176 FAX (216) 221-8066 GRANTSRESEARCH@YAHOO.COM
The National Council of University Research Administrators (NCURA), founded in 1959, is an organization of individuals with professional interest in problems and policies relating to the administration of research, education and training activities at colleges and universities.

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