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UNIVERSITY OF MINNESOTA

RESEARCH REVIEW

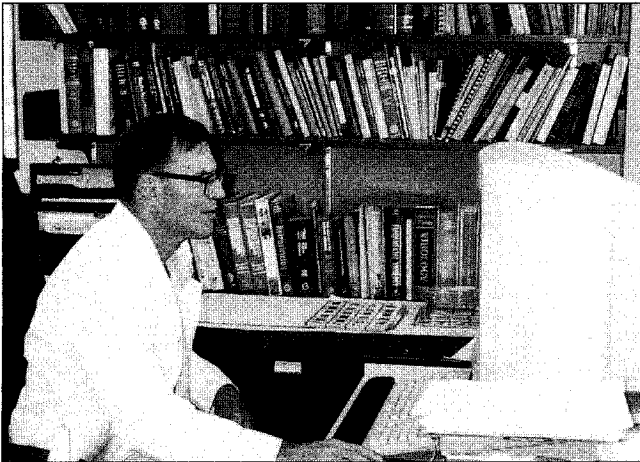
Office of the Vice President for Research

<http://www.ospa.umn.edu/resrev.htm>

July 1999

University of Minnesota is Part of Innovative Research Collaboratory

AIDS researchers from the Universities of Michigan, Minnesota, and Wisconsin and Northwestern University used to catch a flight or pick up the phone when they



Ashley T. Haase, professor and chair, microbiology

wanted to hold a meeting or share information. Now they just turn on their computers to discuss ideas, participate in seminars, or look at each other's slides and databases as if they were in the same room. While they are trying to find a cure for AIDS, they are also helping establish a new way to conduct research through a "collaboratory" using the Internet and various multimedia and data tools allowing them to work virtually side by side despite the miles separating them.

These researchers are part of the Great Lakes Center for AIDS Research (CFAR), one of 17 CFARs, and are receiving a \$30 million NIH grant. For the first time in the 10-year program history, NIH created a "virtual" research center and it's also the first time a CFAR will link multiple research locations to act as one.

The collaboratory is consistent with CFAR's mission to support a multi-disciplinary environment promoting basic, clinical, behavioral, and translational research in the prevention, detection, and treatment of HIV infection and AIDS.

NIH hopes the grant will produce high-level AIDS research and serve as a prototype for other multistate research operations. NIH is also interested in the collaboratory concept for many reasons including:

- The savings resulting from universities pooling their specialties on a common research project.
- Applying this type of research to other research programs.

Each university and researcher brings special expertise. Northwestern's Steven M. Wolinsky, principal investigator for the collaboratory, brings an extensive database of patients and access to clinical trial data. Ashley T. Haase,

(continued on page 9)

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Indirect Cost Rates

The rates listed below come from the University's most recent indirect cost agreement, dated *May 19, 1995*. This date should be used where required on applications. For periods beyond June 30, 1999, the rates listed below are *provisional*.

In rare cases, particular grant programs have maximum rates that are lower than the rates below. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration, 612.624.5599. If you have questions on indirect cost rate development, please call Steve Bradley, 612.626.9895.

Predetermined Rates for 7/1/95-6/30/99

Research

On-campus	47.00%
Off-campus *	26.00%
SAFL on-campus	54.00%
SAFL off-campus *	26.00%
Hormel on-campus	50.00%
Hormel off-campus *	26.00%

Other Sponsored Activity

On-campus	35.00%
Off-campus *	26.00%

Instruction

On-campus	52.00%
Off-campus *	26.00%

* A project is considered off-campus if more than 50% of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University of Minnesota.

RESEARCH REVIEW

Volume XXIX, Number 1

July 1999

Editor: Bruce Erickson

Editorial Assistant: Tove Jespersen

Associate Vice President: Ed Wink

Research Review is a monthly publication of the office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 1100 Washington Avenue South, Suite 201, Minneapolis, MN 55415-1226, or call Bruce Erickson, 612.625.2354, bruce@ortta.umn.edu, or Tove Jespersen 612.624.0061, tove@ortta.umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New provisional rates effective Fall, 1999

TA, RA, AF: standard	\$5.13/hr + 7.6%	
		of gross salary
TA, RA, AF: advanced master's or Ph.D.	\$.93/hr + 7.6%	
Summer quarter TA, RA, AF	—	7.6%
Summer session TA, with tuition	\$9.68/hr + 7.6%	
Summer session TA, without tuition	—	7.6%
Professional program assistant	—	7.6%
Dental fellow *	\$3.35/hr	—
Medical fellow *	\$2.57/hr	—

To the rates listed above, add 7.7% to the 7.6% when a graduate student is enrolled for fewer than 3 credits, or less than 1 credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. **This is a change from previous years.**

For more information about GA job classes and fringe rates, contact George Green, associate dean of the Graduate School, 612.625.7368, green007@tc.umn.edu.

Other Job Classes

	Civil Service	Academic	Post-doc class #9546
7/1/98 - 6/30/99	25.6%	27.1%	13.9%
7/1/99 - 6/30/00	24.4%	27.6%	14.2%
7/1/00 - 6/30/01	27.9%	27.4%	14.3%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009.

Complete details of fringe benefit rates for all classes of UM employees are available at www.fpd.finop.umn.edu/groups/ppd/documents/rates/fringe1999_2000.cfm.

Rate changes will be reflected in this section.

Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of each month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Contact Bruce Erickson, editor, at 612.625.2354, bruce@ortta.umn.edu.

Vice President for Research

Modular Grants

On Friday, June 18, 1999, Chris Maziar, Dean of the Graduate School and vice president for research, sent the following email message:

We have become aware that many NIH sponsored researchers at the University are not aware of important changes in budget preparation and application procedures taking effect on July 1. Although announcements of these changes were made in Research Review, I am asking for your assistance in sharing the following brief letter with faculty, research staff, and grants administration staff in your unit who are likely to be involved with NIH sponsored activity.

For those of you without NIH activity in your units, I apologize for adding to your email "pile" and hope that you can take some pleasure in deleting this message.

NIH has announced that, as of the July 1, 1999 application due date, R01, R03, R15, R41, and R43 applications with direct costs less than \$250,000 per year must be submitted with budgets expressed in modules of \$25,000 (modular grant). Detailed budgets will not be seen either by study sections or by NIH staff. (NOTE: the Agency for Health Care Policy and Research (AHCPR) is currently *not* using the Modular Grant Application and Award.)

This general announcement was modified by NIH for the University of Minnesota because of our, yet to be removed, "exceptional" status. University of Minnesota applications will continue to require a detailed budget that must be sent to NIH before an award is actually made. This requirement was discussed in the April and May issues of *Research Review* (back issues of *Research Review* may be found on the web at <http://www.ospa.umn.edu/resrev.htm#back>).

The Federal Government will hold recipient institutions to the same administrative and cost principles as before, including provisions in OMB Circulars A-21 and A110, and the Cost Accounting Standards (CAS). In short, the University will be held to the same standards of financial standards as now. In order to meet these standards, it will be necessary to have the same budget detail as is now required. Therefore, the Executive Committee of the University has decided that it is necessary for applicants to continue to prepare detailed budgets as they apply for NIH sponsored grants.

What are the University of Minnesota requirements?

- A detailed budget should be prepared prior to the submission of the Modular Grant.

- The detailed budget should be submitted to Sponsored Projects Administration (SPA) at the time the grant is submitted to SPA for signature. This will ensure that the proper F&D (indirect) costs are requested and that the proposed use of the funds meets the terms of OMB Circulars A-21 and A-110, and CAS.

Initially, budgets on standard NIH paper forms will be accepted, but principal investigators are urged to use the Electronic Grants Management System (EGMS—<http://nirvana.ospa.umn.edu>), since the modular budget and forms are part of the integrated software tool. As the new Sponsored Projects Management Model is fully implemented, use of EGMS will become a requirement for proposal submission.

Thank you for your cooperation.

Chris Maziar
Vice President for Research, and
Dean of the Graduate School

Vice President for Research

Administrative Changes in SPA

On June 22, vice president for research Chris Maziar announced new administrative changes in Sponsored Projects Administration (SPA). She said, "I have decided that an acceleration of the realignment of management responsibilities and efforts is in order, particularly with respect to revitalization of SPA, and implementation of the new Sponsored Projects Management Model."

Effective immediately, Winifred A. Schumi is being appointed Interim Associate Director of SPA and will assume operating responsibility for day-to-day functions in SPA, as well as for implementing the Sponsored Projects Management Model in SPA. She will report to Ed Wink, as Director of SPA, for issues related to SPA management, and to David Hamilton, as director of the Sponsored Projects Management Project, for those related issues. A national search will be initiated immediately to identify a permanent associate director.

Ed Wink will focus his attention in four vital areas:

- Facilities and administration (Indirect Costs) rate negotiations
- Effort certification
- Development Certified Approvers Test, Part II
- Business and industry activities in SPA.

Any further changes will be announced as they occur.

Sponsors, Investigators Will Face Closer Scrutiny under Financial Disclosure Rule

Effective February 2, 1999, Food and Drug Administration (FDA) financial disclosure rules require investigators and sites to disclose any financial interests in products they are studying prior to sponsors awarding contracts.

Under the rules, all investigators directly involved in the treatment or evaluation of research subjects must provide the information or face the following possible outcomes:

- FDA stopping their involvement during the investigational stage
- FDA ruling their site data unacceptable
- FDA preventing their participation in the trial

The rules specify different types of financial interests investigators must reveal, including contingent payments and consulting fees. (Please see Basic Financial Disclosure Requirements, below).

Under 21 CFR Part 54, Financial Disclosure by Clinical Investigators, FDA requires that certain financial interests must be disclosed by the sponsor before a new drug application or pre-market approval application. This information must be collected and disclosed for the period of the clinical trial and one year after completion of the trial:

Basic Financial Disclosure Requirements

1. **Interest in product:** Sponsors are required to disclose whether an investigator has a proprietary interest in the product being studied. For example, does the investigator hold a patent on the product or compound?
2. **Contingent payment:** Sponsors must disclose if any payment to an investigator for the trial work is contingent in any way on the results of the trial.
3. **Investigator ownership in sponsor company:** Sponsors are required to maintain and submit to FDA a list of any investigators, their spouses, and/or dependents owning a significant interest in the sponsor company. For publicly owned companies, with stocks that are publicly traded, FDA has defined a significant ownership interest as holding \$50,000 or more in the company's stock.
4. **Payments to an investigator separate from trial payments:** Sponsors are required to list all payments, such as consulting fees and gifts, made to the investigators in a study to support the research activities of the investi-

gator. These separate payments must be detailed to FDA if they total more than \$25,000 to a particular investigator.

Some investigators think the new rules may affect site management through sponsors offering grant monies to larger sites themselves rather than to specific individuals working on particular projects. In addition, they feel sponsors may be less likely to offer stock as payment for trial participation.

All site investigators and subinvestigators must abide by the disclosure requirement including investigators conducting trials outside the U.S. The new rules also require that the sponsor maintain records on financial interests and arrangements of investigators and their immediate families, including not only money paid to investigators as part of a trial, but also gratuities such as payment for travel and conference registration.

Many experts predict sponsors will err on the side of getting more information about an investigator's financial interest in a product, rather than less. This financial interest may also include payments the investigator receives from publishing trial results and/or participating in continuing education courses about the product after its approval. (Please see Trials Excluded from Financial Disclosure Rules, below).

Trials Excluded from Financial Disclosure Rules

In the final rule published December 31, 1998, FDA modified its definition of a covered clinical trial to clarify that it does not include any study that the applicant or FDA "relies on to establish that the product is safe and effective," or any safety study "in which a single investigator makes a significant contribution to the demonstration of safety." Thus, the following types of trials are excluded from coverage under the rules:

- Phase I tolerance studies or pharmacokinetic studies.
- Most clinical pharmacology studies unless critical to an efficacy determination.
- Large, open safety studies conducted at multiple sites.
- Treatment protocols.
- Parallel track protocols.

Information for this article came from the Clinical Trials Advisor.

NIH Staff Visit University of Minnesota

Nearly 300 University of Minnesota faculty and staff welcomed officials from the National Institutes of Health (NIH) who were visiting the University from June 8 - 10 to share information at an all-day symposium, review the new Grants Management Project, and discuss the University's "exceptional" status.

The symposium included sessions on intellectual property, authorship, research administration for principal investigators, conflict of interest, modular grant applications, and a question and answer session at the end of the day.

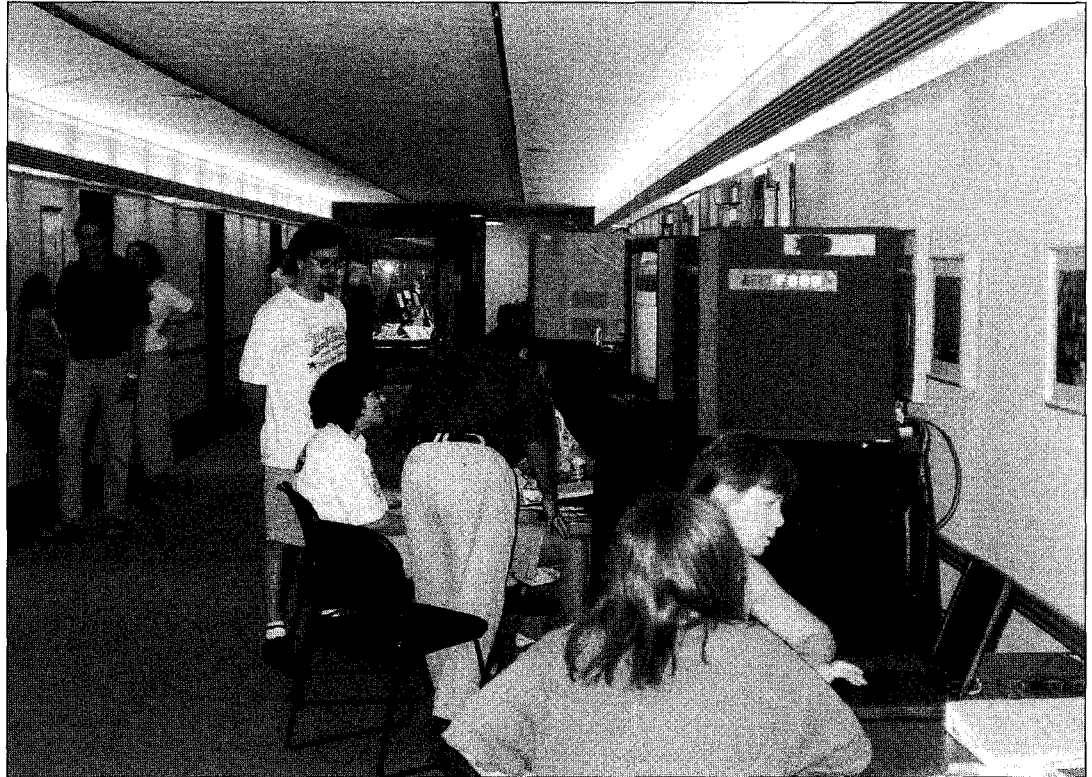
"I was very happy with the turnout," said Christine Maziar, dean of the Graduate School and vice president of research. "I think the number of University faculty and staff attending and the quality of their participation demonstrated to NIH the importance that the University of Minnesota places on grants management."

University staff also displayed tools that are part of the new Grants Management Project for visitors to get information between sessions. These included:

- Financial FormsNirvana
- Financial Reports on the Web
- Faculty Expertise Database
- Electronic Grants Management System (EGMS)
- Research Subjects Protection Program
- Sponsored Programs Information Network (SPIN)

Staff from NIH spent the other two days with various University departments including Epidemiology, Surgery, and Psychology to review how the new grants management system is working and to hear from University research staff about their impressions of the system.

"NIH seemed to be pleased with our progress. They are planning to return earlier than we expected to decide about our exceptional status, which is a good sign," said David Hamilton, grants management project director and professor of genetics, cellular biology, and development.



Symposium participants checking out new Grants Management tools.



Diana Jaeger, Director, Office of Policy for Extramural Research Administration, NIH

What's New in Grants Management

an index to changes and announcements

July 1999

(month 1 of UM fiscal 2000)

Index to Date

Sponsored Projects Administration (SPA)

- | | | | |
|--------------|----------------------------------------------------------------------------------------|-----------------------------------------------|-----------------------------------------------------------------------------------------|
| Update 9901: | Generic proposal added to EGMS | Update 9914: | NIH award notices to arrive electronically |
| Update 9902: | Changes to manual | Update 9915: | On-line purchase request available |
| Update 9903: | Additional information required in letter to transfer a project to another institution | Update 9916: | NIH Prior Approval Requests to be sent electronically |
| Update 9904: | Revised overview brochure | Update 9917: | EGMS Version 1.0 released |
| Update 9905: | PIs must budget some effort on every proposal | Update 9918: | Revised sections of <i>Managing Sponsored Projects</i> |
| Update 9906: | What are preaward accounts and preaward costs? | Update 9919: | New policy on <i>Charging Sponsored Projects Costs before the Award</i> |
| Update 9907: | SPA staff have part-time office in the AHCRSO | Update 9920: | New capitalization threshold |
| Update 9908: | Web provides new financial report: The Budget Variance Summary | Update 9921: | Indirect costs to be charged on first \$25,000 of subcontracts and consortia agreements |
| Update 9909: | Do preproposals have to go through SPA? | Update 9922: | Policy on Uncollectible Costs on Sponsored Accounts |
| Update 9910: | Payment Vouchers (PV) available for electronic departmental entry | Update 9923: | Revisions to Effort Policy |
| Update 9911: | Late proposals need your teamwork | Patents and Technology Marketing (PTM) | |
| Update 9912: | Revision to Cost Sharing Guidelines and new Cost Sharing Policy | Update 9901: | New PTM brochure |
| Update 9913: | New proposal review and processing requirements | Update 9902: | New Reporting Invention Policy |

Summary of Important Fiscal Year-End Changes

Over the past months, *Research Review* has published a number of policy and procedure changes scheduled to be implemented on July 1, 1999, the beginning of fiscal year 2000. Text of these changes may be found in the referenced issues of the *Research Review*, and at the referenced web sites.

- Higher floor rate and cap for graduate students
- Lower hourly tuition fringe rate for graduate students
February *Research Review*, page 1
<http://www.ospa.umn.edu/rr/99-05/fringe.htm>
- Higher threshold for capitalizing equipment
- Indirect costs to be charged to first \$25,000 of subcontracts and consortium agreements
April *Research Review*, page 3
<http://www.ospa.umn.edu/rr/99-04/x01capital.htm>
- Preaward and advance accounts required for charging costs before the award (no more cost transfers from non-sponsored accounts).
April *Research Review*, page 9
http://www.fpd.finop.umn.edu/groups/ppd/documents/policy/preaward_policy.cfm, or
<http://www.ospa.umn.edu/policy/respolcy.htm>
- New closeout requirements for fixed-price awards
June *Research Review*, page 3
<http://www.ospa.umn.edu/rr/99-06/x10closeout.htm>
- New policy on uncollectible costs
June *Research Review*, page 4
<http://www.ospa.umn.edu/rr/99-06/x15uncollect.htm>

National Science Foundation

Updates

Directorate for Mathematical & Physical Sciences (MPS)

FastLane Implementation as of July 1, 1999.

The directorate for MPS is moving forward with the previously announced implementation of FastLane in all Directorate programs starting July 1, 1999. The divisions are: Astronomical Sciences (AST), Chemistry (CHE), Materials Research (DMR), Mathematical Sciences (DMS), and Physics (PHY).

Support for implementation throughout the Directorate will remain the same as last year, with Ms. Florence Rabanal acting as the MPS FastLane Coordinator. As always, she is interested in hearing your views about upcoming procedural changes, and is available to answer any questions you might have. She may be reached at frabanal@nsf.gov, or by phone at 703.306.1998. Questions about proposal content or programmatic procedures within the Divisions should be addressed to the relevant program director. Information about the MPS Directorate, its staff, programs, and our FastLane implementation plans may be found at <http://www.nsf.gov/home/mps>.

FastLane Functions

The following list provides a brief explanation of the major FastLane functions that will be required starting July 1, 1999. Complete instructions for using these functions, as well as all others, are provided on the FastLane web site at <http://www.fastlane.nsf.gov/>.

- Proposal Submission: Full electronic submission via FastLane is required for all MPS proposals, except those sent in response to foundation-wide solicitations, such as the Faculty Early Career Development (CAREER) or Research Experiences for Undergraduates Sites (REU) Program, which may have specific requirements.
- The signed proposal cover sheet (NSF Form 1207) should be submitted in accordance with the requirements in the current NSF Grant Proposal Guide (GPG) at <http://www/cgi-bin/getpub?nsf992>. At this time, GPG instructions (NSF 99-2) require that the signed proposal cover sheet

(NSF Form 1207) be forwarded to the following address and received by NSF within five working days following proposal submission:

National Science Foundation
DIS-FastLane Cover Sheet
4201 Wilson Blvd.
Arlington, VA 22230

- Proposal Reviews: All programs will continue to require electronic receipt of ad-hoc and panel reviews. Additionally, programs will require electronic submission of panel summaries.
- Post-Award Notifications and Requests: As was previously required, all post-award administrative actions (i.e. post-award notifications and requests), such as no-cost

Please note that any principal investigator with NSF funding should acquire a FastLane PIN number ASAP. NSF is moving toward requiring the use of FastLane for all pre- and post-award processes by October of 1999, including, but not limited to proposals, annual and final project reports, and requests for no-cost extensions.

To acquire a PIN number, send an email to Kim Makowske, kim@ortta.umn.edu. She will email back with the necessary instructions.

extensions, changes in a proposal's effective date, or changes in a grant's objective or scope must be submitted via FastLane.

- Progress and Final Project Reports: Use of the FastLane Project Reporting

System for submission is required for all annual (formerly NSF Form 1328), final (formerly NSF 98A), and interim reports.

- For proposals submitted through FastLane when the PI and any co-PI have *no* overdue final project reports, NSF will no longer print the acknowledgement postcard for the PI. When the proposal has been submitted by the grantee organization, the proposal number may be found in the submitted proposals list available in the submit proposals function. For proposals submitted through FastLane when the PI or any co-PIs *have* an overdue final project report, the green acknowledgement card will continue to be printed.

National Science Foundation

Researcher Success

The "FY 1998 Report on the NSF Merit Review System" has been released. The entire report is available on NSF's homepage at <http://www.nsf.gov>. Here are some statistics from that report:

- Female investigators submitted 5,599 of total proposals; their funding rate was 34 percent. Funding rates of proposals from women researchers have been higher than rates from men for the past five years.
- The funding rate for male investigators was 32 percent.
- Proposals and funding rates for minority investigators declined, totaling 1,250. The success rate of 31 percent was slightly below average.
- Proposals from PIs who had received an NSF award in a previous fiscal year were funded at a higher rate than proposals from new investigators—39 percent to 25 percent, respectively.
- Grants were bigger. Median size was \$61,666, a 5.5 percent increase, and the average award amount was \$105,382, up 9.6 percent from 1997.
- The Small Grants for Exploratory Research Program—which funds short-term and typically small-scale grants for preliminary work on untested and novel ideas—reported an 83 percent success rate.
- Total funding for 247 awards in 1998 was \$12.3 million, which partly reflected an experimental increase in award size to \$100,000.
- Mathematical and physical sciences directorates received the most applications, at 5,200 each.
- Overall, the funding rate was highest in the social and behavioral sciences, 41 percent, followed by 37 percent in geosciences. The lowest funding rate, 29 percent, was in the biological sciences.
- The largest number of awards, 1,833, were in the mathematics and physical sciences directorate, followed by the biological sciences directorate, which made 1,403 grants.
- The biggest grants came from the computer science and engineering directorate, with a \$174,409 average. The smallest average was \$44,635 in the social sciences directorate.

National Institutes of Health

NIH Research-Tools Policy is Published for Comment

The National Institutes of Health (NIH) has published (*Federal Register* May 25, p. 28205) a notice announcing the availability for comment of a policy on the use and dissemination of research tools. In response to recommendations from the NIH Director's Advisory Committee, the policy was generated as a guide to NIH grantees.

The policy is a two-part document consisting of principles setting forth fundamental concepts and guidelines for assisting NIH grantees in determining: 1) reasonable terms for making available to other scientists NIH-funded research resources, and 2) restrictions that apply as conditions to receiving access to research tools for use in NIH-funded research.

The guidelines discourage researchers from making pacts with companies for access to biomedical-research tools if those deals restrict dissemination of the resulting scientific findings.

VP for Research Chris Maziar and the Senate Research Committee are encouraging faculty to look at the policy and send their comments to NIH. The text of the policy is available at www.nih.gov/welcome/forum. Comments must be received by August 23, 1999.

Department of Defense

Office of Naval Research, NASA New Web Site

On June 10, the Department of Defense, the Office of Naval Research (ONR), and the National Aeronautical and Space Administration (NASA) began providing an on-line "Status of Final Reports" as part of their newly created AdminWeb. This new system will replace the individual letters and attachments sent in the past.

On the 10th of each month, Sponsored Projects Administration (SPA) will automatically be sent an email with information on how many awards currently require some final reporting, and which awards will soon be expiring.

The advantages to this approach include real-time information from agency databases, elimination of difficulties with opening attachments, and the ability to deliver future enhanced capabilities such as on-line reporting and electronic awards of new ONR grants.

For more details, see <http://www.onr.navy.mil/adminweb>.

chair of the microbiology department at the University of Minnesota, and his co-workers are particularly strong in fundamental immunology and how AIDS behaves in human tissue. The collaboratory also includes researchers at Michigan who are adept at techniques in gene transfer and scientists at the University of Wisconsin who specialize in medical research using non-human primates. "I would have to hunt around at my own institution, where the resources may not even be available, or travel to another institution. Instead of doing that, I can log onto my computer and collaborate with the other researchers in the CFAR center," Haase says.

The University of Michigan's Collaboratory for Research on Electronic Work (CREW) was brought in to analyze the researchers' computer skills and needs, and will help expand the researchers' communication options. Much of the software the researchers are using is commercially available, such as Microsoft's NetMeeting, but CREW staff are also generating some of their own software.

CREW staff plan to track the results of the collaboration and how the researchers interact using various technologies, according to Stephanie Teasley, a CREW assistant research scientist who is directing the CFAR project. According to Teasley, the Great Lakes CFAR collaboratory brings challenges for CREW staff including:

- Dealing with the possible competitive nature of AIDS research due to the personal and professional stakes involved. Haase feels competition will not be an issue saying "This collaboration is based on a cooperative paradigm and not on a competitive one."
- Keeping up with the speed of the research and the mountains of data it produces.
- Ensuring confidentiality of records and patient data. Teasley added that the collaborative is using its own server to secure patient data confidentiality.

These researchers have worked together in the past, but it wasn't until the formation of the Great Lakes CFAR that their collaboration was formalized. "The collaboration has shown promising beginnings and I hope it will help us function to see and share data more easily," Haase says.

Although the center is in its early stages, they are already finding ways the communications technologies can be used to advance their research. Application-sharing software gives members of the Great Lakes CFAR access to research databases at the other institutions. Sharing databases allows the researchers to integrate others' data, and it saves individual researchers from replicating work already done.

{continued next column}

Through the collaboration, researchers also have enhanced ability to broaden their research. "We hope this collaboration will eventually be like walking down the hall to talk to a fellow researcher about something you've discovered. We will be able to do experiments more quickly with the people you need to work with," says Haase.

Information for this article comes from *The Scientist*, and The University of Michigan's School of Information.

Sponsored Projects Administration Changes, Changes, Changes

As announced last fall, and as part of our on-going efforts to improve service, this office has gone through a period of reconstruction. The Office of Research and Technology Transfer Administration (ORTTA) no longer exists and has now been broken into separate units. Each unit reports directly to the vice president for research, and each has a new web site, as follows:

Sponsored Projects Administration (SPA),

<http://www.ospa.umn.edu>

The EGMS office is part of SPA and may be accessed at

<http://nirvana.ortta.umn.edu>

Patents and Technology Marketing (PTM),

<http://www.ptm.umn.edu>

Browsers may go directly to the on-line edition of the *Research Review* at

<http://www.ospa.umn.edu/resrev.htm>

Please change your records and/or bookmarks to the new site names. Other changes may take place when SPA and PTM move into the new Gateway Building in the fall.

Sponsored Projects Administration EGMS Help for Faculty

One-on-one Electronic Grants Management System (EGMS) help for faculty is now available for a limited time. Frances Spalding, the EGMS grant administrative assistant, is available by advance appointment. Call 612.624.1033 and set up a time.

Also, starting July 7, and available to all faculty and staff, is an open lab to help with EGMS questions. Weekly sessions staffed by EGMS specialists will run 9:00 a.m. to 11:30 a.m. on July 7, 14, and 28 in 664 Children's Rehabilitation Center. August and September sessions may be added if there is a demand.

Recent Publications by University Authors

Arts, Humanities, Social & Behavioral Sciences

Rettig, K.D., Leichtentritt, R.D., Danes, S.M. The effects of resources, decision making, and decision implementing on perceived family well being in adjusting to an economic stressor. *Journal of Family and Economic Issues* 20.1 (1999): 5-34.

Leichtentritt, R.D., Rettig, K.D., Miles, S.H. Holocaust survivors perspectives in the euthanasia debates. *Social Science and Medicine* 48.1 (1999): 185-196.

Leichtentritt, R.D., Rettig, K.D. Meanings and attitudes toward end-of-life preferences in Israel. *Death Studies* 23.4 (1999): 323-358.

Browne, D.R., *Electronic media and industrialized nations: a comparative study*. Ames, IA: Iowa State University Press, 1999.

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Please send your new citations to Tove Jespersen, tove@ortta.umn.edu.

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More Information

To generate copies of NIH and NSF application forms, please go to,
EGMS at <http://nirvana.ortta.umn.edu>, or to
NIH at <http://www.nih.gov/grants/forms.htm>, or to
NSF at <http://www.nsf.gov/pubsys/index.htm>
(For help, call the EMGS Help Line at 612.618.8747)

For funding searches please contact the

Office of the Vice President for Research
612.625.7585; facgrant@gold.tc.umn.edu,
<http://www.research.umn.edu/research.html>.

■ United States Institute of Peace Senior Fellowships

The United States Institute of Peace invites applications for senior fellowships in its Jennings Randolph Program for International Peace. These fellowships support practitioners and scholars working on projects concerning the sources and nature of international conflict and ways of managing and sustaining peace.

Proposals in all fields are welcome, including but not limited to: government, higher education, journalism, international affairs, law, business, labor, religion, media, the arts, the military, and humanitarian affairs. Candidates must have an undergraduate degree from an accredited university; postgraduate education is not required. Fellowships are open to citizens of any country.

The Institute expects to award about 12 fellowships. Fellowships are usually awarded for ten months beginning in October. The program attempts to match the recipient's earned income during the year preceding the fellowship, subject to a federal pay ceiling. Stipend levels are adequate for living costs in the Washington D.C. area for fellows and their families. The award includes the costs of health insurance and travel to and from Washington D.C. for fellows and dependents.

The application deadline is **September 15, 1999**, on an official application form. Go to <http://www.usip.org>; e-mail jrprogram@usip.org; 202.429.3886; fax 202.429.6063.

■ United States Institute of Peace Dissertation Fellowships

The United States Institute of Peace invites applications for Peace Scholar Dissertation Fellowships offered by its Jennings Randolph Program for International Peace. These fellowships are intended to support the research and writing of dissertations addressing the sources and nature of international conflict and the full range of ways to prevent or end conflict and to sustain peace.

Dissertation projects from all disciplines are welcome. Priority will be given to projects that contribute knowledge relevant to the formulation of policy on international peace and conflict issues.

The Institute expects to award at least ten Peace Scholar fellowships. Eligible applicants are doctoral students at U.S. universities who will have completed all requirements for the doctoral degree except the dissertation by September, 2000. Citizens of any country are welcome to apply. The stipend is \$14,000 for 12 months, beginning September, 2000.

The application deadline is **November 15, 1999**, on an official application form. Go to <http://www.usip.org>; e-mail jrprogram@usip.org; 202.429.3886; fax 202.429.6063.

■ RGK Foundation

The RGI Foundation awards grants in three main categories: community, education, and medical. The foundation's major giving priorities include programs that promote academic excellence in institutions of higher learning; raise literacy levels; attract minority and women students into the fields of math, science, and technology; and promote the health well-being of children.

About \$6.5 million was available in 1998.

There is **no deadline**, the foundation reviews and awards proposals throughout the year. Contact the RGK Foundation, 1301 West 25th Street, Suite 300, Austin, TX 78705-4236; 512.474.9298, fax 512.474.6389, jhampton@rgkfdn.org, <http://www.rgkfoundation.org>.

■ National Science Foundation In Brief

Educational System Reform

Student Achievement Data Set Analyses

To support studies in the appropriate use and analysis of student achievement data in systemic reform program accountability. Each proposal must provide a plan for examining the utility of the data sets to determine meaningful analyses linking assessment results across comparable tests; specify study questions and identify assessment issues relating to conducting analyses of multiple student achievement data sets; describe in sufficient detail the statistical methods for conducting in-depth analyses of performance results; and discuss dissemination of results.

Two to four standard one-year awards may be funded; approximately \$1.5 million will be available for funding.

The application deadline is **September 15, 1999**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf99122>.

Connections to the Internet Program

July 31, 1999 will be the final opportunity to submit proposals for consideration under category "c" of the Connections to the Internet program. This category of proposals is called "High Performance Connections for Research and Education Institutions and Facilities."

Contact Bill Decker, Program Director at wdecker@nsf.gov, 703.306.1949.

Division of Physics

The Division of Physics will use the following four target dates for proposal submissions for disciplinary research activities competing for FY 2001 funds:

Atomic, Molecular, Optical, and Plasma Physics	September 15, 1999
Special Programs and Conferences	September 29, 1999
Theoretical Physics, Gravitational, Physics, & Elementary Particle Physics ..	October 13, 1999
Nuclear Physics	November 3, 1999

The above dates do not apply to proposals sent to the Physics Division in response to foundation-wide solicitations such as the Faculty Early Career Development (CAREER) or Research Experiences for Undergraduates (REU). Such programs have specified target or deadline dates in their program announcements.

■ National Oceanic and Atmospheric Administration Weather Forecast Research

The National Oceanic and Atmospheric Administration (NOAA) is inviting cooperative agreement applications for collaborative research between academic and NOAA scientists to improve weather forecasts and warning capabilities.

Priorities include quantitative precipitation estimation and forecasting; flash flood and probabilistic river prediction; prediction of seasonal-to-interannual and decadal climate variability; prediction of tropical cyclones near landfall; prediction of marine conditions; the effect of topography on local weather regimes; locally hazardous weather; and conditions conducive for the rapid development of wild-fires.

The maximum request is \$125,000 for two to four awards, for a project period of three years. Academic institutions with expertise in environmental sciences are eligible to apply.

The application deadline is **October 1, 1999**. Contact Sam Contorno, 301.713.1970, x 193; fax 301.713.1520, samuel.contorno@noaa.gov.

■ McKnight Foundation McKnight Endowment Fund for Neuroscience

The McKnight Endowment Fund for Neuroscience sponsors an awards program to stimulate technical inventions that will enhance brain research. While other funders typically won't make a commitment before a project generates promising preliminary results, McKnight is willing to risk a chance on such inventions at their earliest stages, supporting truly innovative initiatives that aren't yet well-worked-out experimentally.

The risk is tempered by the fact that awardees must have an impressive track record of research in their field, although that field need not be neuroscience. It is likely that four awards will be made, providing \$200,000 over two years to scientists or teams of scientists working on technological advances in the field.

Letters of intent for the next round of awards are due **December 15, 1999**. For more information about the purpose of awards and eligibility for them, go to the fund's website: <http://www.mcknight.org/neuroscience>.

■ Fetzer Institute Norman Cousins Award

The Fetzer Institute's Norman Cousins Award recognizes individuals working in healthcare with a vision, creativity, and leadership focused on relationship-centered care. Relationship-centered care is an approach to healthcare that values the relationships formed in the context of care, including those among and between clinicians and patients; individuals as they care for themselves and one another; clinicians and the communities in which they practice; healthcare practitioners across various professions; and administrators and managers as they set the environment and resources for care.

Individuals must be nominated. Nominees may be individuals working in healthcare (including health professionals, nurses, administrators, doctors, support staff, educators, and others) who are committed to and foster relationship-centered care in exceptional ways. Nomination forms are available on the institute's website at http://www.fetzer.org/announcements/pr_42299.cousins.html.

One \$25,000 grant is available.

The application deadline is **August 31, 1999**. Fetzer Institute, 9292 West KL Avenue, Kalamazoo, MI 49009-9398; 616.375.2000, x269, cousins@fetzer.org, <http://www.fetzer.org/announcements/awar.html>.

■ Department of Defense Air Force Office of Scientific Research Defense University Instrumentation

The Air Force Office of Scientific Research (AFOSR) is inviting proposals to acquire costly research equipment, to help higher education institutions pursue research and educate scientists and engineering in areas important to national defense.

Funding has not been set, but past funding has been about \$45 million a year. Equipment requests must be at least \$50,000 but not more than \$1 million. A \$3 million setaside is planned for projects related to information technology.

The application deadline is **August 19, 1999**. For the broad agency announcement, go to <http://www.afosr.af.mil>. Select "Research Opportunities" and refer to BAA-99-03.

■ Department of Defense U.S. Army Medical Research and Materiel Command Neurofibromatosis Research

The U.S. Army Medical Research and Materiel Command (USAMRMC) has announced its 1999 program to support research on neurofibromatosis, including innovative, high-risk research, new investigator awards, investigator-initiated awards, and clinical trials.

New and established scientists are eligible to apply for \$9.3 million in available funds.

The application deadline is **September 15, 1999**. Contact USAMRMC Congressionally Directed Medical Research Programs, 301.682.5517, x 101, fax 301.682.5521, <http://cdmmp.army.mil>.

■ Department of Health and Human Services Trends in Demand for Emergency Services

The Department of Health and Human Services announces the availability of funds and invites applications for research to determine the trends in, and status of, demand for emergency services, (e.g., emergency and transitional shelters, soup kitchens, food pantries), during this period of falling welfare caseloads and Temporary Assistance to Needy Families (TANF) implementation. Grant applicants are expected to conduct empirical analyses using existing provider-level data sources in conjunction with socio-economic and caseload data to explore trends and relationships.

Approximately \$310,000 will be available to fund two to four grants. Eligible applicants include universities and other institutions of higher education, among others.

The application deadline is **July 30, 1999**. Copies of the announcement and many of the required forms may be obtained at <http://aspe.hhs.gov> (see section on available grants and contracts). You may fax a request for application materials to 202.690.6518 or call Adrienne Little, 202.690.8794. Requests for forms and administrative questions will be accepted and responded to up to ten working days prior to the closing date.

Faculty Research, Training, and Service Awards

This section contains statistics on proposals and awards recently processed by SPA. In addition, we have selected awards received by faculty during preceding months. Faculty who have received awards they would like mentioned in a future *Research Review* may send the pertinent data, as exemplified below, to Tove Jespersen at SPA, tove@ortta.umn.edu.

Proposal and Award Summary

	Number	Amount
Proposals Submitted		
May 1999	206	\$ 20,881,517
Awards Processed		
May 1999	336	73,719,121
Proposals Submitted		
July 1998 - May 1999	2,865	330,309,155
Awards Processed		
July 1998 - May 1999	2,701	335,035,614
Proposals Submitted		
July 1997 - May 1998	3,649	788,967,213
Awards Processed		
July 1997 - May 1998	3,645	754,033,131

Absorption and Side Effects of Rectally Administered Topiramate

Jeannine Pluhar, Experimental and Clinical Pharmacology
 Angela Birnbaum, Experimental and Clinical Pharmacology
 James Cloyd, Experimental and Clinical Pharmacology
 U.S. Pharmacopeia Convention
 \$15,000 - 7/1/99-6/30/00

Pathogenesis of HIV-Induced Immunodeficiency

Ashley T. Haase, Microbiology
 NIH, NIAID
 \$321,961 - 3/1/99-2/29/00

In Vitro Susceptibility of Leptospira and Borrelia to the New Kelotide Antimicrobial Agent

Russell C. Johnson, Microbiology
 Hoescht-Marion-Roussel
 \$14,400 - 4/1/98-9/30/98

The Effect of BMS-203522 Cream of Facial Hair of Men of African-American Descent

Maria K. Hordinsky, Dermatology
 Marna Ericson, Dermatology
 Bristol Myers Company
 \$163,138 - 12/28/98-3/14/00

Central Biochemistry Laboratory, Wave Study

Michael W. Steffes, Laboratory Medicine and Pathology
 Otsuka America Pharmaceutical, Inc.
 \$151,859 - 5/1/97-4/30/01

Phase 2 Evaluation of Targretin in Breast Cancer

Tanya Repka, Medicine
 Ligand Pharmaceuticals
 \$75,883 - 9/18/98-8/30/00

Propionyl L-Carnitine for Treatment of Claudication

Alan Hirsch, Medicine
 Michael D. Caldwell, Surgery
 Sigma-Tau Pharmaceuticals, Inc.
 \$66,000 - 5/10/99-4/10/00

Prevention of Ulcer Hemorrhage by H. Pylori Eradication

Samuel Ho, Medicine
 University of California, Los Angeles
 \$35,705 - 9/30/98-9/29/99

Pathological Mechanisms in Transynaptic Calcium Overload

Christopher Gomez, Neurology
 John Day, Neurology
 NIH, NINDS
 \$196,448 - 4/15/99-3/31/00

Phase I Study of IL-4 Toxin in Malignant Astrocytoma

Walter A. Hall, Neurosurgery
 Neurocrine Biosciences
 \$147,816 - 3/1/99-11/30/02

Trial of Intravenous OvaRex™ as Post Chemotherapy Consolidation for Ovarian Tubal and Peritoneal Carcinoma

Linda F. Carson, Obstetrics and Gynecology
 Jonathan A. Cosin, Obstetrics and Gynecology
 Altarex Corp.
 \$48,000 - 12/1/98-11/30/99

Phase I Study of the Chemoprotectant Amifostine With Autologous Stem Cell Transplantation for High Risk of Relapsed Pediatric Solid Tumors

John P. Perentesis, Pediatrics
 Alza Corp.
 \$10,000 - 10/28/98-10/27/03

Genetic Studies of Affected Relative Pairs in Bulimia Nervosa

Scott J. Crow, Psychiatry
 Carol Peterson, Psychiatry
 Neuropsychiatric Research Institute
 \$52,000 - 1/1/99-12/31/99

Functional MRI Mapping of Human Thalamocortical Networks

Wei Chen, Radiology
 NIH, NINDS
 \$271,795 - 5/1/99-2/29/00

In Vivo MR Studies of Glucose Metablism in Breast Lesions

Michael Garwood, Radiology
 Elizabeth R. Seaquist, Medicine
 John P. Delaney, Surgery
 NIH, NCI
 \$146,018 - 3/1/99-2/29/00

Design for a New Epicardial Implantable Defibrillator Lead

J. Ernesto Molina, Surgery
 Medtronic, Inc.
 \$8,500 - 7/30/98-7/29/99

Role of Sperm Protein SP22 in Male Fertility

Kenneth P. Roberts, Urologic Surgery
 Environmental Protection Agency
 \$11,666 - 4/30/99-4/29/00

Treatment with Ibandronate in Postmenopausal Women

Kristine Ensrud, Medicine
 Roche Laboratories, Inc.
 \$352,025 - 7/8/98-1/31/01

Raxar vs Levaquin in Bronchial Washings and Serum

Henry J. Mann, Experimental and Clinical Pharmacy
 Peter B. Bitterman, Medicine
 Glaxo Wellcome
 \$90,518 - 11/1/98-11/1/99

Pulsating Polymer Gel

Ronald A. Siegel, Pharmaceutics Research
National Science Foundation
\$116,800 - 9/1/98-4/30/99

Pharmacokinetics of Oxaprozin in Juvenile Rheumatoid Arthritis

Mark S. Paller, Medicine
G.D. Serle & Co.
\$00.00 - 1/16/97-12/18/01

Comparison of Two Medications and Placebo for Muscle Pain

Cory Herman, Dentistry
Eric L. Schiffman, Minnesota Head and Neck Pain Clinic
American Academy of Orofacial Pain
\$1,500 - 4/1/99-6/15/00

Plaque and Biomaterials

William F. Liljemark, Oral Sciences
Minnesota Mining and Manufacturing
\$60,000 - 4/1/99-9/30/99

Whole Genome Sequencing of *Pastuerella Multocida*

Vivek Kapur, Veterinary Pathobiology
U.S. Department of Agriculture
\$200,000 - 12/15/98-12/31/00

Evaluation of Moxidectin Injectable

Bert E. Stromberg, Jr., Veterinary Pathobiology
Fort Dodge Animal Health
\$101,686 - 2/5/99-12/31/99

Magnet-Mechanical Testing Machine

Richard D. James, Aerospace Engineering and Mechanics
Thomas W. Shield, Aerospace Engineering and Mechanics
USDOD, Navy
\$145,000 - 3/31/99-4/1/00

Flow Cell Investigation

Daniel D. Joseph, Aerospace Engineering and Mechanics
Diasorin, Inc.
\$15,000 - 12/1/98-8/1/99

High Resolution Imaging and Spectroscopy of Cool Hypergiants

Roberta M. Humphreys, Astronomy
Space Telescope Science Institute
\$36,065 - 4/1/99-11/30/99

Reactive Polymers

Alon V. McCormick, Chemical Engineering and Materials Science
D. Fennell Evans, Chemical Engineering and Materials Science
Rohm and Haas Company
\$65,139 - 5/1/99-5/1/00

Transmission Analysis of Compound Semiconductor Layers

C.B. Carter, Chemical Engineering and Materials Science
Honeywell, Inc.
\$10,000 - 4/5/99-10/4/99

Design, Synthesis, and Characterization of New Polyactide Contaminant Materials

Marc A. Hillmyer, Chemistry
Eric Munson, Chemistry
Cargill, Inc.
\$156,299 - 1/15/99-12/31/01

Photoinduced Heterogeneous Electron Transfer at Solid Surfaces

Xiaoyang Zhu, Chemistry
American Chemical Society, Petroleum Research Fund
\$60,000 - 5/1/99-8/31/01

Iron Oxygen Activation Project

Lawrence Que, Jr., Chemistry
Unilever, Nederland
\$47,652 - 1/1/99-12/31/99

Era Sediment Transport Model

Gary N. Parker, Civil Engineering
OK Tedi Mining, Ltd.
\$101,000 - 7/15/98-4/15/99

An Investigation of New Approaches to Survivability

Mats Heimdahl, Computer Science and Engineering
Massachusetts Institute of Technology
\$97,070 - 1/1/99-12/7/99

Electronic Commerce

Ding Z. Du, Computer Science and Engineering
Talent Information Management, Inc.
\$25,967 - 2/15/99-7/15/99

Design of User Codes and Low-Complexity CDMA Receivers for Multi User Interface Elimination in Unknown Multipath

Georgios Giannakis, Electrical and Computer Engineering
National Science Foundation
\$72,300 - 2/1/99-6/30/99

High SFDR Data Converters for Wireless Basestations

Ramesh Harjani, Electrical and Computer Engineering
Semiconductor Research Corp.
\$60,000 - 2/1/99-2/1/00

Parametric Modeling of Nonstationary Signals

Georgios Giannakis, Electrical and Computer Engineering
University of Virginia
\$12,000 - 2/1/99-9/30/99

Indexing of Mineral Exploration Files

Glenn B. Morey, Geological Survey
St. of Minn., Department of Natural Resources
\$100,000 - 4/22/98-6/30/99

Industrial Consortium Experimental Study of Basin Stratigraphy

Christopher Paola, Geology and Geophysics
Japan National Oil Corp.
\$25,000 - 6/1/98-3/30/99

Electromagnetic Scattering

Fernando Reitich, Mathematics
USDOD, Air Force
\$39,550 - 4/1/99-11/30/99

Career: Photodetachment from Nanometer-Sized Particles

Uwe R. Kortshagen, Mechanical Engineering
National Science Foundation
\$200,000 - 4/15/99-3/31/03

Boron Carbide Deposition Studies on Various Substrate Materials

Joachim V. Heberlein, Mechanical Engineering
Saint-Gobain Norton Industrial Ceramics
\$45,000 - 8/1/98-7/31/99

Experimental Measurements of Light Induced Changes in Long-Ranged Disorder in Amorphous Silicon

James Kakalios, Physics and Astronomy
National Renewable Energy Laboratory
\$42,920 - 5/14/99-5/13/00

Development and Application of Computational Software for Hydroturbine Systems

Charles C.S. Song, St Anthony Falls Hydraulic Laboratory
Miscellaneous Agency
\$50,000 - 5/1/99-9/30/99

Molecular Compensation: Lipid Binding Protein Regulation

Ann V. Hertz, Biochemistry, CBS
David A. Bemlohr, Biochemistry, CBS

NIH, NIDDK
\$40,036 - 4/1/99-3/31/00

Elemental Homeostasis at the Individual, Guild and Ecosystem Levels

Robert W. Sterner, Gray Freshwater Biological Institute
National Science Foundation
\$97,172 - 3/1/99-2/28/00

A Search for Three Rare, Endemic Minnesota Mushroom Species

David J. McLaughlin, Plant Biology
St. of Minn., Department of Natural Resources
\$1,120 - 5/1/99-6/30/99

Methods for Cross-Linking DNA

Douglas Foster, Animal Science
Diasorin, Inc.
\$24,990 - 8/1/98-12/31/98

Evaluation of Reflective Panels in Greenhouse Production

John E. Erwin, Horticultural Science
Kevin A. Janni, Biosystems and Agricultural Engineering
Minnesota Mining and Manufacturing Foundation
\$15,000 - 9/1/96-9/1/97

Canada Goose Population Management and Ecology

James A. Cooper, Fisheries and Wildlife
City of Bloomington
\$7,827 - 3/15/96-3/15/98

Convergence in Leaf Traits: An Intercontinental Study

Peter B. Reich, Forest Resources
National Science Foundation
\$29,700 - 5/1/99-4/30/00

Topeka Shiner Surveys and Life History and Habitat Characterization in Minnesota

Jay T. Hatch, General College
St. of Minn., Department of Natural Resources
\$24,169 - 7/1/98-4/30/99

Cumulative Impacts of Development on Minnesota Lakes

Patrick L. Brezonik, Civil Engineering
Marvin E. Bauer, Forest Resources
St. of Minn., Department of Natural Resources
\$90,000 - 3/1/99-6/30/99

Non-Traditional Sources of Labor for Education

Steve Yussen, Education and Human Development
St. of Minn., Department of Children, Families, and Learning
\$30,000 - 2/1/99-6/30/99

Partnerships in Character Education: Voices from our Communities

Darcia Narvaez, Curriculum and Instruction
St. of Minn., Department of Children, Families, and Learning
\$83,993 - 8/1/98-7/31/99

Building Collaborative Classrooms

David R. Johnson, Educational Psychology
Lynn Walz, Institute on Community Integration
St. of Minn., Department of Children, Families, and Learning
\$38,480 - 7/1/98-6/30/99

Guided Videotaping

Richard A. Weinberg, Educational Psychology
Amy Susman-Stillman, Institute of Child Development
St. of Minn., Department of Children, Families, and Learning
\$10,000 - 11/1/98-1/31/99

Workers' Compensation System Analysis

Avner Ben-Ner, Carlson School of Management
Yong-Seun Park, Industrial Relations
St. of Minn. Department of Labor and Industry
\$20,000 - 9/14/98-9/13/99

Networks in Flux

Priti P. Shah, Strategic Management Research
Citicorp Behavioral Sciences Research Council
\$14,022 - 3/15/99-9/14/99

The Civic Mission of Higher Education

Harry C. Boyte, Humphrey Institute
Kettering Family Foundation
\$10,000 - 3/10/99-6/25/99

Operation Pathfinder Workshops for Teachers

Bruce H. Munson, Education, Duluth
USDOD, Navy
\$82,443 - 1/1/99-12/31/99

Minneapolis Training Program for Neighborhood Organizers

Jay Clark, Urban and Regional Affairs
Minneapolis Community Development Agency
\$10,000 - 6/1/98-5/31/99

Development of Novel Combinations of Growth Inducers

Zoltan Kiss, Hormel Institute
Sota Tec Fund
\$186,687 - 4/15/99-4/14/00

Successful Transitions From Welfare to Work in Hennepin County

C.D. Hollister, Social Work
Hennepin County
\$10,000 - 10/6/98-12/31/98

Product Development and Process Improvement for Northern Contours

Brian K. Brashaw, Natural Resources Research Institute, Duluth
Patrick K. Donahue, Natural Resources Research Institute, Duluth
Northern Contours, Inc.
\$124,200 - 10/1/98-9/30/01

Indexing of Mineral Exploration Files

Steven A. Hauck, Natural Resources Research Institute, Duluth
St. of Minn., Department of Natural Resources
\$10,000 - 4/22/99-6/30/99

Mine Pit Lake and Sediment Survey

Richard Axler, Natural Resources Research Institute, Duluth
Jerald R. Henneke, Natural Resources Research Institute, Duluth
St. of Minn., Pollution Control Agency
\$5,000 - 4/30/99-6/30/99

Cara De Sliva: 1999 Holocaust Commemoration Lecture

Debora Petersen-Perlma, College of Liberal Arts
Duluth-Superior Area Community Foundation
\$1,000 - 4/1/99-5/31/99

Kauffman Entrepreneur Internship Program

Duane Kaas, Center for Economic Development
Kathy Forslund, Center for Economic Development
Kauffman Fdn., Ewing Marion
\$25,000 - 3/5/99-5/30/00

Minority Alumni Mentorship Program

Michael Snowden, Minority Student Program, Morris
American Express Minnesota Foundation
\$15,500 - 9/1/96-8/31/99

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Research Subjects' Protection Programs , fax 626.6061			
Director	Moira Keane	626.5654	irb@umn.edu/iacuc@umn.edu

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(Faculty labels are those with a string of seven numbers printed above the addressee's name.)

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RESEARCH REVIEW

Office of the Vice President for Research

<http://www.ospa.umn.edu/resrev.htm>

August 1999

University Professors Work Together Under New Grant and New Department

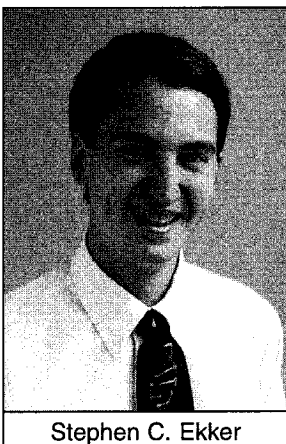
Four University of Minnesota professors will soon be working together under a new grant. The University was one of only two universities out of over 90 applicants from around the country to receive the first Beckman Foundation Technology Development Grant. The grant provides up to \$2.5 million over the next five years to develop a new way to transfer genes in vertebrate cells.

Although they belonged to different departments when they applied for the grant, the four professors now work together in the Department of Genetics, Cell Biology and Development. Principal investigator Stephen C. Ekker and professors Perry Hackett, David Largaespada, and R. Scott McIvor will work to improve on a procedure, called "Sleeping Beauty", that delivers new DNA into the chromosomes of a cell. The procedure was named Sleeping Beauty after professor Hackett discovered an obsolete gene that was "awakened" and modified to work as a transfer agent for other genes.

Currently, the most widely used delivery method involves attaching genes to viruses, which are good at transporting DNA into cells, but the viruses are often destroyed by the patient's immune system or they may cause illness if they do not get into cells.

The fact that these professors were in different departments made applying for this grant complicated and cumbersome, however the extra effort made receiving the grant that much more rewarding. The benefit of this type of partnered grant work coming together in one department is one reason why the University created the new Genetics, Cell Biology and Development Department. These professors will move into the new Molecular and Cellular Biology Building upon its completion, which will also help pool their individual resources and information.

Within this new building, the University of Minnesota is helping establish the Arnold and Mabel Beckman Center for Transposon Research. This new center will be the focal point for the development and dissemination of Sleeping Beauty research. The research from these four professors will significantly contribute to the foundation of this new center. Several companies have already expressed an interest in licensing Sleeping Beauty for development in variety of applications including health care. The formation of the Beckman Center will help forge partnerships between Minnesota and academic and commercial institutions.



Stephen C. Ekker

"This grant will be a true collaboration between the four of us and it will be the start of bringing Sleeping Beauty technology to as many people who want to use it," said Ekker. "Our goal is to be the center point or flag bearers to test Sleeping Beauty and develop it so others can help increase its benefits. We are like the engine for other people to use in their own vehicle on how to utilize Sleeping Beauty's potential."

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Indirect Cost Rates

The rates listed below come from the University's most recent indirect cost agreement, dated *May 19, 1995*. This date should be used where required on applications. For periods beyond June 30, 1999, the rates listed below are *provisional*.

In rare cases, particular grant programs have maximum rates that are lower than the rates below. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration, 612.624.5599. If you have questions on indirect cost rate development, please call Steve Bradley, 612.626.9895.

Predetermined Rates for 7/1/95-6/30/99

Research

On-campus	47.00%
Off-campus *	26.00%
SAFL on-campus	54.00%
SAFL off-campus *	26.00%
Hormel on-campus	50.00%
Hormel off-campus *	26.00%

Other Sponsored Activity

On-campus	35.00%
Off-campus *	26.00%

Instruction

On-campus	52.00%
Off-campus *	26.00%

* A project is considered off-campus if more than 50% of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University of Minnesota.

RESEARCH REVIEW

Volume XXIX, Number 2

August 1999

Editor: Bruce Erickson

Editorial Assistant: Tove Jespersen

Associate Vice President: Ed Wink

Research Review is a monthly publication of the office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 1100 Washington Avenue South, Suite 201, Minneapolis, MN 55415-1226, or call Bruce Erickson, 612.625.2354, bruce@ortta.umn.edu, or Tove Jespersen 612.624.0061, tove@ortta.umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New provisional rates effective Fall, 1999

TA, RA, AF: standard	\$5.13/hr + 7.6%
	of gross salary
TA, RA, AF: advanced master's or Ph.D.	\$.93/hr + 7.6%
Summer quarter TA, RA, AF	— 7.6%
Summer session TA, with tuition	\$9.68/hr + 7.6%
Summer session TA, without tuition	— 7.6%
Professional program assistant	— 7.6%
Dental fellow *	\$3.35/hr —
Medical fellow *	\$2.57/hr —

To the rates listed above, add 7.7% to the 7.6% when a graduate student is enrolled for fewer than 3 credits, or less than 1 credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. **This is a change from previous years.**

For more information about GA job classes and fringe rates, contact George Green, associate dean of the Graduate School, 612.625.7368, green007@tc.umn.edu.

Other Job Classes

	Civil Service	Academic	Post-doc class #9546
7/1/98 - 6/30/99	25.6%	27.1%	13.9%
7/1/99 - 6/30/00	24.4%	27.6%	14.2%
7/1/00 - 6/30/01	27.9%	27.4%	14.3%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009.

Complete details of fringe benefit rates for all classes of UM employees are available at www.fpd.finop.umn.edu/groups/ppd/documents/rates/fringe1999_2000.cfm.

Rate changes will be reflected in this section.

Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of each month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Contact Bruce Erickson, editor, at 612.625.2354, bruce@ortta.umn.edu.

Managing Your Grant Starts at the Beginning

Managing a grant starts during the writing of the application. Deciding which types of personnel, and how many you need to carry out the experiments, what sort of equipment is required (and whether you need to purchase it or them), what supplies are needed, etc., all are part of what sponsoring agencies call "costing of the application." As an applicant you have to make these decisions; how well you make them will have a great deal to do with the success of your project.

Making certain that the budget and the proposed experiments meet the regulatory demands from sponsors, as well as the University, is also part of good grant management. Understanding policies and procedures, and federal regulations that apply to you as a researcher early on in the process will have big payoff after the award is made.

After the award is made, of course, you have to be vigilant about how the money is spent, and how much you spend. Deficits are not allowed on federal grants and excess balances indicate often that you asked for too much; both practices are scrutinized by outside auditors and could have consequences to the University.

What is the University doing to help you manage your grant in the face of all this?

Lots.

At the application stage there is EGMS (<http://nirvana.ortta.umn.edu>). EGMS has been described many times in Research Review, so it is not necessary to do it here. However, the benefits of EGMS to you cannot be overemphasized. They include:

- Calculates fringe benefits and indirect costs in the background, using the currently correct numbers,
- Calculates inflation across fiscal and grants years,
- Flags potential violations of OMB Circular A-21 while you prepare the budget,
- Assigns budget items to appropriate CUFS object codes, transparent to the user,
- Can be accessed anywhere an Internet connection is available,
- Fills in University demographic information, and
- Enables easy formation of a grant Biographical Sketch.

As is noted in the graph at right, Electronic Grants Management System (EGMS) use has gone up dramatically

over the past nine months. In the month of June, 1999, over 51% of the applications sent to Sponsored Projects Administration (SPA) were fully or partially electronic.

At the award stage there is another form of EGMS for internal use in SPA (this will be described in a later article). However, of great importance to managing your grant are Financial FormsNirvana (<http://nirvana.fss.umn.edu>), which allows you to purchase goods electronically, and Financial Reports on the Web (<http://financial.reports.umn.edu>) that tell you how much money you have to spend.

The benefits of Financial FormsNirvana are less obvious than those of EGMS to the PI, but nonetheless are substantial. For instance,

- Flags potential violations of OMB Circular A-21 and other accounting practices at both the preparer and certified approver levels,
- Balances appear on screen prior to approval of transactions so that the approver will know whether enough money is available for the transaction,
- Transactions are automatically posted to CUFS as encumbrances at the end of each working day,

Did You Know?

	Totally Electronic Proposals	Manual Proposals with Electronic Routing Form	Totally Manual Proposals
September 1998	2.20%	18.60%	79.20%
June 1999	16.00%	35.00%	49.00%

- When the invoice is paid, encumbrances are automatically relieved and posted as expenses in CUFS, which means that
- Project-specific financial reports are accurate and timely.

During the month of June, 1999, almost 19,000 documents were processed using Financial FormsNirvana!

So the systems are there to accurately manage your grant. All you have to do is use them.

by David W. Hamilton, Ph.D.

TIPS for Preparing NSF Proposals

Whether you are submitting a hard copy proposal or submitting via FastLane, here are a few most frequently missed items that are required:

COVERSHEET

- Program/Solicitation No/Closing Date: If *not* in response to a program announcement/solicitation, enter "NSF 99-2." If it *is* in response to a program announcement/solicitation the announcement/solicitation number must be entered.
- NSF Organizational Unit, enter the most specific unit known
- DUNSnumber: enter 555917996 if submitting a hard copy. FastLane will automatically add this number.
- Employer ID: 416007513

CERTIFICATION PAGE

- Debt and Debarment Certifications: Select "No" for both questions.
- Authorized Organizational Representative: Kevin McKoskey, Interim Assistant Director.
- Telephone number: 612.624.5599

- E-mail address: awards@ortta.umn.edu
- Fax number: 612.624.4843

BIOGRAPHICAL SKETCHES

- Limited to two pages per person and are required for all senior personnel.
- In most cases, list up to five publications most closely related to the proposed project and five other significant publications. (For specific program announcements/solicitations, the limit may be less, and limits are strictly enforced.)

CURRENT AND PENDING SUPPORT

- **All** current and pending support must be listed, including the NSF proposal that is being submitted.
- The total award amount for the award period covered (including indirect costs) must be shown
- List the number of person-months per year to be devoted to the project, **regardless** of source of support (total effort, not effort paid).

Clinical Device Trials A Seminar for Principal Investigators

The Academic Health Center is hosting a seminar for principal investigators involved in device research. Speakers will include representatives from the FDA and Medical Device Industry, as well as representatives from the University of Minnesota.

Topic Highlights:

- National FDA representative will present an update on reengineering efforts, as well as audit preparation tips
- So you think you have an invention: what to do and who to call
- What a sponsor looks for when selecting an investigator

Thursday, September 23, 1999

8:00 a.m. – 2:30 p.m.

Please contact Meg Becker at
612.626.1462 for more information.

Research Subjects Protection Programs

Recent Federal Initiatives' Impact on the Research Subjects' Protection Programs

In recent months, the Office for Protection From Research Risks (OPRR), the primary federal regulatory agency overseeing Institutional Review Boards (IRB) and Institutional Animal Care and Use Committees (IACUC), has taken serious action against institutions found to be out of compliance with federal rules. The most severe action taken at three institutions—the suspension of privilege to conduct research with human subjects using federal monies—has sparked a nationwide self-analysis of the IRB and IACUC infrastructure.

While the University of Minnesota takes great pride in our Research Subjects' Protection Programs (RSPP), having made many improvements in our process and service over recent years, we are faced with new challenges in order to remain in full compliance with OPRR requirements.

Researchers will notice a few changes in expectations:

The IRB and IACUC are expected to verify that applications for review and approval "match" the grant application submitted to the funding agency.

- Full grant applications must be provided with the IRB or IACUC initial application form. (*Not just the methods or humans/animals sections as in the past*).
- Addition of a title for a grant application (to an already existing study file in IRB or IACUC) will also require full grant application submission.
- Ongoing activity will be reviewed for grant-to-application match and discrepancies or questions will be brought to the principal investigator's attention for immediate response.

The IRB and IACUC are required to document cooperation and understanding of regulatory authority when researchers conduct projects at cooperating sites.

- Special documentation of IRB and IACUC authority in the form of OPRR designed "Single Project Assurances" will be required for all federally funded projects conducted whole or in part at sites external to the University of Minnesota (or Fairview Health Systems).

Enhancements are being made to our training and education efforts for IRB and IACUC members, researchers, and institutional officials. These initiatives will be described in *Research Review* and on the RSPP web site.

Verification and auditing for compliance initiatives in IRB and IACUC covered research have been expanded in the past year and will continue in an effort to provide the committees with more immediate feedback on the progress of studies.

Given the national scrutiny of protection programs and legislative initiatives, OPRR has been removed from the National Institutes of Health (NIH) and placed directly under the Secretary for Health and Human Services. We do not yet know the ramifications of this change, but it will undoubtedly affect the pace and scope of IRB and IACUC review. We can expect that in the coming months, additional requirements will be placed on IRBs and IACUCs. The Research Subjects' Protection Program will continue to apprise researchers of the changes that will have a direct impact.

If you have any questions please call Moira Keane, Director, RSPP, at 612.626.5654.

What's New in Grants Management

an index to changes and announcements

August 1999

(month 2 of UM fiscal 2000)

There are no announcements this month.

Animal Rights Activists

Richard Bianco, Assistant Vice President in the Academic Health Center has issued a warning that animal rights activists may be targeting the university again in July or August. By the time the *Research Review* is delivered it may be the danger has passed, but vigilance is never a bad idea.

Dr. Bianco urges faculty and staff to keep laboratories locked, take other precautions to protect animals and people, and challenge anyone who doesn't seem to belong in a building.

Patents Issued
April 1999 – June 1999

1. **Title:** **Hematography**
Purpose: Instructional computer software programs to teach blood cell identification.
Inventor: Karen G. Lofsness, Laboratory Medicine and Pathology

2. **Title:** **Agricultural Residue Based Absorbent Material and Method for Manufacture**
Purpose: Panels or other shapes formed from agricultural residue and possessing good absorption characteristics, durability, and the ability to retain absorbed liquids.
Inventors: Brian K. Brashaw, Christian F. Edwardson, Roy D. Adams, Robert J. Vatalaro, Natural Resources Research Institute; Larry E. Berg, non-U.

3. **Title:** **Synchronization of the Switching Action of Hysteresis Current Controlled Parallel Connected Power Electronics Systems**
Purpose: A method and apparatus for operation of an electrical power conversion system.
Inventors: Ned Mohan, Girish R. Kamath, Electrical and Computer Engineering; Johann W. Kolar, non-U.

4. **Title:** **Single Circuit Ladder Resonator Quadrature Surface**
Purpose: A single-circuit quadrature surface coil well suited for imaging the human neck, spine, and heart.
Inventors: Haiying Liu, Charles L. Truwit, Radiology

5. **Title:** **Catalytic Oxidative Dehydrogenation Process and Catalyst**
Purpose: A process for the production of a monoolefin from a gaseous paraffinic hydrocarbon.
Inventors: Chikafumi Yokoyama, Sameer S. Bharadwaj, Lanny D. Schmidt, Chemical Engineering and Materials Science

6. **Title:** **Highly Cross-Linked Polymeric Supports**
Purpose: A polymer useful as a solid support for a variety of applications.
Inventors: Maria Kempe, George Barany, Chemistry

7. **Title:** **Improved Varieties of *Poa Annua***
Purpose: Novel varieties of *Poa annua* that are perennial and have characteristics desired for a turfgrass, including dark green color, vigor, disease resistance, and restricted flowering.
Inventor: Donald B. White, Horticultural Science

8. **Title:** **Arabidopsis Spindly Gene, Methods of Identification and Use**
Purpose: An invention relating to the identification of a gene involved in the gibberellin signal transduc-

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tion pathway. Methods are disclosed for isolating and using the gene from a variety of plants.

- Inventors:** Neil E. Olszewski, Steven E. Jacobsen, Plant Biology
9. **Title:** **PZT Microdevice**
Purpose: A micromechanical device or microactuator and a method for fabricating such a device or microactuator.
Inventors: Dennis L. Polla, Joon Han Kim, Electrical and Computer Engineering

Technology Transfer Agreements
April 1999 - June 1999

1. **Title:** **Production of Amino Acids Using Auxotrophic Mutants of Methylophilic *Bacillus***
Purpose: A method of producing amino acids.
Inventors: Michael C. Flickinger, Frederick J. Schendel, Biological Process Technology Institute; Michael V. Guettler, Gray Freshwater Biological Institute; Richard S. Hanson, Microbiology

- Title:** ***Bacillus* MGA3 Aspartokinase II Gene**
Purpose: Providing the isolated DNA sequence encoding the α B dimer subunit of the lysine-sensitive aspartokinase II isozyme from the thermophilic methylophilic *Bacillus sp.* MGA3.
Inventors: Michael C. Flickinger, Frederick J. Schendel, Biological Process Technology Institute

- Title:** ***Bacillus* MGA3 Diaminopimelate Decarboxylase Gene**
Purpose: Providing the isolated DNA sequence encoding the dimer subunit of the lysine-sensitive diaminopimelate decarboxylase from the thermophilic methylophilic *Bacillus sp.* MGA3.
Inventors: Michael C. Flickinger, David A. Wells, Biological Process Technology Institute

- Title:** **Production of Amino Acids using Auxotrophic Mutants of *Bacillus Methanolicus***
Purpose: A method of producing glutamic acid.
Inventors: Michael C. Flickinger, Craig Bremmon, Biological Process Technology Institute; Nuzha M. Al-Tahoo, Biochemistry, Molecular Biology & Biophysics; Richard S. Hanson, Microbiology; Won Hur, College of Biological Sciences; Patricia E. Olson, Gray Freshwater Biological Institute

- Title:** **Gene Transfer System for *Bacillus Methanolicus***
Purpose: A technique to insert new genes into methanol utilizing strains of bacteria to increase production of amino acids.
Inventors: Michael C. Flickinger, Biological Process Technology Institute; David R. Cue, Microbiology

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- Title:** Production of Lysine using Salt Tolerant, Methanol Utilizing Bacillus
- Purpose:** A method of producing lysine.
- Inventors:** Richard L. Dillingham, Frederick J. Schendel, Biological Process Technology Institute; Richard S. Hanson, Microbiology
- Licensee:** *Norsk Hydro ASA Research Agreement*
2. **Title:** Assays for Xenotransplantation
- Purpose:** Assays that can be used to test for the safety of animals-to-human organ transplants.
- Inventor:** Lawrence B. Schook, Veterinary Pathobiology
- Licensee:** *Viromed Laboratories, Inc. Exclusive License Agreement*
3. **Title:** Causative Agent of Sow Abortion and Mortality Syndrome, Vaccine Compositions, Antibodies and Method
- Purpose:** An antigen for preparation of an immunizing agent or vaccine against Sow Abortion and Mortality Syndrome (SAMS) and antibodies for detection, treatment, or prevention thereof.
- Inventors:** Han Soo Joo, Jinho Shin, Clinical and Population Sciences
- Licensee:** *Newport Laboratories, Inc. Exclusive License Agreement*
4. **Title:** Causative Agent of Sow Abortion and Mortality Syndrome, Vaccine Compositions, Antibodies and Method
- Purpose:** An antigen for preparation of an immunizing agent or vaccine against Sow Abortion and Mortality Syndrome (SAMS) and antibodies for detection, treatment, or prevention thereof.
- Inventors:** Han Soo Joo, Jinho Shin, Clinical and Population Sciences
- Licensee:** *Newport Laboratories, Inc. Research Agreement*
5. **Title:** Detection of Nucleic Acid Sequence Differences using the Ligase Detection Reaction with Addressable Arrays
- Purpose:** For identifying one or more of a plurality of sequences differing by one or more single base changes, insertions, deletions, or translocations in plurality of target nucleotide sequences.
- Inventors:** George Barany, Robert P. Hammer, Maria Kempe, Nancy E. Witowski, Chemistry; Francis Barany, Monib Zirvi, Herman Blok non-U.
- Licensee:** *Perkin-Elmer Corporation Exclusive License Agreement*
6. **Title:** Vapochromic Platinum-Complexes and Salts
- Purpose:** A process for indicating the presence of organic vapors.
- Inventors:** Charles A. Daws, Christopher L. Exstrom, Daron E. Janzen, Kent R. Mann, Marie K. Pomije, Chemistry

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- Title:** A Vapochromic LED
- Purpose:** Demonstrating a new type of sensor that reports the arrival of organic vapors with an electroluminescent signal.
- Inventors:** Christopher L. Exstrom, Yoshihito Kunugi, Kent R. Mann, Larry L. Miller, Chemistry
- Title:** A Vapochromic Photodiode
- Purpose:** A new type of photosensor that reports the arrival of organic vapors.
- Inventors:** Yoshihito Kunugi, Kent R. Mann, Larry L. Miller, Marie K. Pomije, Chemistry
- Licensee:** *CALMEC Exclusive License Agreement*
7. **Title:** Interfacial Engineering Interactive, Multimedia Instructional Materials
- Purpose:** Multimedia educational software dealing with the principles of interfacial engineering.
- Inventors:** D. Fennell Evans, Chemical Engineering & Materials Science; Robert J. Stokes, Hakon Wennerstrom, non-U
- Licensee:** *WE SEE Company Exclusive Software License Agreement*
8. **Title:** Catalytic Oxidative Dehydrogenation Process
- Purpose:** A process for the production of a mono-olefin from a gaseous paraffinic hydrocarbon having at least two carbon atoms or mixtures thereof.
- Inventors:** Sameer S. Bharadwaj, Marylin C. Huff, Lanny D. Schmidt, Chikafumi Yokoyama, Chemical Engineering and Materials Science
- Licensee:** *Dow Chemical Company Exclusive Option Agreement*
9. **Title:** Synthetic Peptides with Bactericidal Activity and Endotoxin Neutralizing Activity for Gram Negative Bacteria and Methods
- Purpose:** Providing biologically active peptides, useful in methods to treat and prevent bacterial infection in the body and on surfaces, and also useful to treat endotoxin shock.
- Inventors:** Beulah H. Gray, Judith R. Haseman, Microbiology; Kevin Mayo, Biochemistry, Molecular Biology and Biophysics
- Title:** Synthetic Approach to Designed Chemical Structures
- Purpose:** An invention relating to the chemical design and production of peptides, peptide structure and three dimensional conformation.
- Inventors:** Beulah H. Gray, Judith R. Haseman, Microbiology; Kevin Mayo, Biochemistry, Molecular Biology and Biophysics; Arjan W. Griffioen, non-U
- Title:** Inhibitors of Angiogenesis
- Purpose:** Novel peptides that inhibit the formation of blood vessels. The technology has potential as a therapeutic for certain tumors.

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- Inventor:** Kevin Mayo, Biochemistry, Molecular Biology and Biophysics
Licensee: *ActiPep Biotechnology, Inc.*
Exclusive License Agreement
10. **Title:** **Spinocerebellar Ataxia Type 8 and Methods of Detection**
Purpose: An invention that provides an isolated nucleic acid molecule containing a repeat region of an isolated spinocerebellar ataxia coding sequence, and diagnostic methods based on identification of this repeat region.
Inventors: Kellie A. Benzow, Michael D. Koob, Melinda L. Moseley-Aldredge, Laura P.W. Ranum, Neurology
Licensee: *Athena Diagnostics, Inc.*
Exclusive License Agreement
11. **Title:** **Geometry Software – Web EQ**
Purpose: Web-EQ is a Java applet for processing and rendering mathematical notation in web pages.
Inventor: Robert R. Miner, Geometry Center
Title: **Crafter Software**
Purpose: Crafter is a software package for designing three-dimensional models of spacecraft.
Inventor: Lori A. Thomson, Geometry Center
Title: **Orrery Software**
Purpose: Orrery is a program that works with Geomview to animate an accurate model of the solar system.
Inventor: Stuart A. Levy, Geometry Center
Title: **JGV Software**
Purpose: JGV is a viewing program that allows authors to embed moveable 3D objects in web pages. Users can rotate, scale, and translate objects in interactively with a mouse.
Inventor: Mark B. Phillips, Geometry Center
Title: **Geomview Software**
Purpose: Geomview is an interactive program written for viewing and manipulating geometric objects.
Inventor: Mark B. Phillips, Geometry Center
Licensee: *Geometry Technologies, Inc.*
Exclusive Software License Agreement
12. **Title:** **Candida Albicans Gene, Integrin-like Protein, Antibodies, and Methods of Use**
Purpose: An isolated and purified DNA molecule, encoding *Candida albicans* protein with integrin-like motifs, the protein itself, antibodies thereto, and methods of use.
Inventors: Catherine M. Bendel, Cheryl A. Gale, Margaret K. Hostetter, Nianjun Tao, Pediatrics; Kathleen Kendrick. non-U
Licensee: *Inhibitex, Inc.*
Exclusive License Agreement
13. **Title:** **Potential Diagnostic Marker and Therapeutic Target for Cancer and Arthritis**
Purpose: For use in research of novel gene product and antibodies.
Inventor: Duanqing Pei, Pharmacology
Licensee: *Chemicon International, Inc.*
Non-Exclusive License Agreement
14. **Title:** **C-Fos Transcriptional Control of Endothelium Cell Motility**
Purpose: Products for cell-based drug screening.
Inventors: Paul J. Sammak, Wen Jun Wang, Pharmacology
Licensee: *Cellomics, Inc.*
Exclusive Option Agreement
15. **Title:** **Sugarcane Bacilliform Virus Promoter**
Purpose: A method of using sugarcane bacilliform virus promoter to express proteins, RNA transcripts, or mixtures thereof, in transgenic plants.
Inventors: Benham E. Lockhart, Plant Pathology; Neil E. Olszewski, Iris Tzafrir, Plant Biology; David A. Somers, Kimberly A. Torbert, Agronomy and Plant Genetics
Licensee: *Monsanto Company*
Non-Exclusive License Agreement
16. **Title:** **DNA Encoding Oat Acetyl CoA Carboxylase**
Purpose: A method for conferring herbicide tolerance and/or altering the oil content of plants.
Inventors: Margaret A. Egli, Burle G. Gengenbach, David A. Somers, Agronomy and Plant Genetics
Licensee: *Quaker Oats Company*
Research Agreement
17. **Title:** **Interfacial Engineering-Thermodynamics Interactive, Multimedia Instructional Materials**
Purpose: Multimedia educational software dealing with thermodynamics and related topics.
Inventors: D. Fennell Evans, Chemical Engineering and Materials Science; Hakon Wennerstrom, non-U
Licensee: *WE SEE Company*
Exclusive Software License Agreement
18. **Title:** **Interfacial Engineering Transport Properties Interactive, Multimedia Instructional Materials-Fluid Mechanics**
Purpose: Multimedia educational software dealing with transport properties and related topics, including fluid mechanics, heat transfer, and mass transfer.
Inventors: D. Fennell Evans, Chemical Engineering and Materials Science; Vaughan R. Voller, Civil Engineering
Licensee: *WE SEE Company*
Exclusive Software License Agreement

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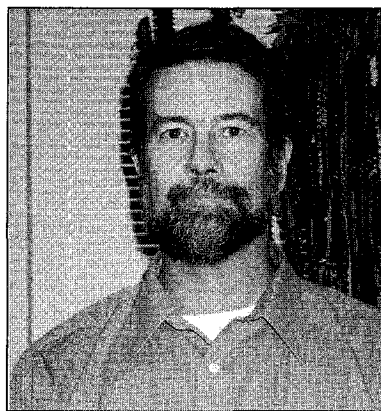
19. **Title:** **Lysine-insensitive Maize Dihydrodipicolinic Acid Synthase**
Purpose: A DNA sequence which encodes an altered form of native *Zea mays* either in vitro, or in transformed plant cells, or whole plants.
Inventors: Douglas C. Bittel, Burl G. Gengenbach, Janita M. Sellner, Jonathan M. Shaver, David A. Somers, Agronomy and Plant Genetics
Licensee: *E.I. duPont de Nemours and Co. Non-Exclusive License Agreement*
20. **Title:** **Apple Tree: Honeycrisp**
Purpose: An extremely crisp, sweet apple that stores well.
Inventors: David S. Bedford, James J. Luby, Horticultural Science
Licensee: *Warwick Orchards and Nursery, Ltd. Non-Exclusive Plant Patent and Trademark Agreement*
21. **Title:** **Sugarcane Bacilliform Virus Promoter**
Purpose: A method of using sugarcane bacilliform virus promoter to express proteins, RNA transcripts, or mixtures thereof, in transgenic plants.
Inventors: Benham E. Lockhart, Plant Pathology; Neil E. Olszewski, Iris Tzafir, Plant Biology; David A. Somers, Kimberly A. Torbert, Agronomy and Plant Genetics
Licensee: *Quaker Oats Company Exclusive License Agreement*
22. **Title:** **Donahue Doorskin**
Purpose: A method of making a real wood, veneer, raised panel doorskin which can be applied to a flush door to make a competitive alternative to a traditional raised panel door.
Inventor: Patrick K. Donahue, Natural Resources Research Institute, Duluth
Licensee: *Evergreen Veneer Products, Inc. Exclusive License Agreement*
23. **Title:** **Maxi-Mum: Mn. Selection No. 92-333-2**
Purpose: A large chrysanthemum variety that may be used for landscaping around homes and offices.
Inventors: Neil O. Anderson, Peter D. Ascher, Horticultural Science
Licensee: *Ball Horticultural Co. Exclusive License Agreement*
24. **Title:** **Monoclonal Antibody P1H12**
Purpose: This antibody has been useful in research on the role of the vascular endothelium in the activation of the coagulation system.
Inventors: Robert P. Hebbel, Medicine; Elizabeth A. Wayner, Laboratory Medicine and Pathology
Licensee: *PharMingen Non-Exclusive License Agreement*

Sleeping Beauty

continued from page 1

Professor Ekker hopes to use Sleeping Beauty to transfer genes in fish and to identify unknown genetic functions. Sleeping Beauty will insert itself into working genes to disable them and then Ekker will look for the genes that are performing differently and identify their functions. For example, if Sleeping Beauty were put into fish eggs and those eggs grew into fish with tiny eyes, then a gene for

eye structure would have been found. Since the basic genes of fish and humans are similar, this work is expected to help identify genes guiding human development and whose loss or malfunction can cause birth defects.



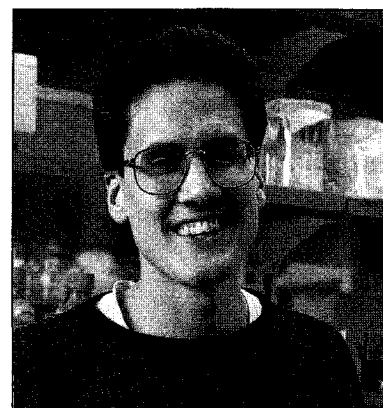
Perry Hackett

Hackett's research will center on improving Sleeping Beauty's inherent function as essentially a gene for a "molecular scissors" – an enzyme that

snips the Sleeping Beauty gene out of a chromosome and splices it into another one. Hackett's research is critical to all uses of Sleeping Beauty, as the more efficient it can become, the greater the number of biological systems that can benefit from the use of Sleeping Beauty.

Working with mice, Professor Largaespada will utilize Sleeping Beauty to find genes linked to cancer, specifically those genes that prevent cancer. When Sleeping Beauty disables the gene and a tumor develops, Largaespada will identify the location of the cancer-preventing gene. This information can be applied to humans by identifying similar beneficial genes. If a gene, that when impaired, is linked to cancer and identified, scientists can work to preserve and maintain that gene so the cancer will not develop.

Professor McIvor will focus on gene therapy and will use Sleeping Beauty as a tool for reversing specific genetic defects in mice. McIvor will work to develop Sleeping Beauty for maximum effectiveness in model genetic animal strains. The results of his research in the future could be used to combat human genetic diseases after ensuring that Sleeping Beauty can first safely and effectively function in mice.



David Largaespada

{Note: A photograph of R. Scott McIvor was not available.}

Recent Citations by University Authors

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More Information

To generate copies of NIH and NSF application forms, please go to,

EGMS at <http://nirvana.ortta.umn.edu>, or to NIH at <http://www.nih.gov/grants/forms.htm>, or to NSF at <http://www.nsf.gov/pubsys/index.htm> (For help, call the EMGS Help Line at 612.618.8747)

For funding searches

please contact the Office of the Vice President for Research 612.625.7585; facgrant@gold.tc.umn.edu, <http://www.research.umn.edu/research.html>.

Fish and Wildlife Service

Small Grants Program for Wetland Conservation

The U.S. Fish and Wildlife Service and the North American Wetlands Conservation Council are requesting proposals under the Small Grants Program. Projects must meet the purposes of the North American Wetlands Conservation Act (NAWCA) of 1989, which are to promote, through partnerships, long-term conservation of North American wetland ecosystems, and the waterfowl and other migratory birds, fish and wildlife, that depend upon such habitats. Principal conservation actions supported by NAWCA are acquisition, enhancement, and restoration of wetlands and wetland-associated uplands habitat.

Funding priority will be to projects from new grant applicants with new partners, where the project ensures long-term conservation benefits. Proposals must represent on-the-ground projects and the anticipated wetlands and wildlife resources benefits that will result from project execution is an important factor in proposal evaluation. There should be a reasonable balance between acreages of wetlands and wetland-associated uplands.

Proposals must have a grant request no greater than \$50,000.

The application deadline is **December 3, 1999**. For further information contact Dr. Keith Morehouse, Small Grants Coordinator, or Ms. Heather Poindexter, Office Secretary, North American Waterfowl and Wetlands Office, U.S. Fish and Wildlife Service, 4401 North Fairfax Drive Suite 110, Arlington, VA 22203; 703.358.1784, fax 703.358.2282, r9arw_nawwo@fws.gov.

Russell Sage Foundation

Research in the Social Sciences

The Russell Sage Foundation is accepting applications for grants to support Research in the Social Sciences. Scholars are based at the foundation while conducting research on the future of work, immigration, relations among members of different ethnic groups, or literacy. Support tends to be more for analyzing data and writing up results than in data acquisition.

Awards range from \$10,000 to \$200,000, averaging about \$50,000. There is **no application deadline**; however, proposals must arrive at least eight weeks prior to the meetings of the Board of Directors, which occur in June and November. For more information go to <http://www.russellsage.org>.

Barbara Bush Foundation for Family

Literacy Family Literacy Grants

The foundation's grants program seeks to develop or expand family literacy projects designed to support the development of literacy skills in families throughout the nation. The goal of the national grant program is to develop and expand family literacy efforts nationwide, and to break the intergenerational cycle of illiteracy by supporting the development of literacy programs that build families of readers.

The next application deadline is **September 10, 1999**.

For more information go to <http://www.barbarabushfoundation.com/nga.html>.

United States Institute of Peace

Unsolicited Grant Competition

The United States Institute of Peace has announced its upcoming Fall Unsolicited Grant Deadline, which offers support for research, education and training, and the dissemination of information on international peace and conflict resolution.

The application deadline is **October 1, 1999**. Application forms are available at <http://www.usip.org>, or you may write to United States Institute of Peace, Grant Program, Unsolicited Grants, 1200 17th Street NW, Suite 200, Washington, DC 20036-3011; 202.429.3842, fax 202.429.6063, grant_program@usip.org.

■ Rockefeller Brothers Fund

The Fund's major objective is to improve the well-being of all people through support of efforts to counter world trends of resource depletion, conflict, protectionism, and isolation. This presupposes a global outlook and therefore, internationally oriented activity.

The fund makes grants in five areas:

1. **One World**, made up of two components, Sustainable Resource Use and Global Security. The major portion of grant funds are applied to this area. Projects are located, for the most part, in East Asia, Central and Eastern Europe, or the United States.
2. **Nonprofit Sector**, to promote the health and vitality of the nonprofit sector.
3. **Education**, promoting leadership through fellowships and other related programs; recipients teach in public schools and assume positions in the field of public education.
4. **New York City**, to enhance and strengthen civil society in New York City.
5. **South Africa**, to improve the quality and accessibility of basic education for children and adults in South Africa.

Most grants are between \$25,000 and \$300,000 for not more than three years.

There is **no application deadline**. A preliminary letter of inquiry is requested, describing the project, its relationship to the fund's program, information about principal investigators, synopsis of the budget, and an indication of the requested amount of funding. Detailed proposals will be requested. For more information go to <http://www.rbf.org>. Rockefeller Brothers Fund, 437 Madison Avenue, 37th Floor, New York, NY 10022-7001; 212.812.4200, fax 212.812.4299, rock@rbf.org.

■ Department of Education Graduate Assistance in Areas of National Need

This program provides fellowships in areas of national need through academic departments and programs of institutions, to assist graduate students with excellent records who demonstrate financial need and plan to pursue the highest degree available in their course of study.

The areas of national need designated for this year are biology, chemistry, computer and information sciences, engineering, geology and related sciences, mathematics,

{next column}

and physics. DE is particularly interested in 1) applications from interdisciplinary programs for projects designed to involve academic fields in two or more of the designated areas of need, and 2) applications from geological science programs for projects that will train Ph.D. students for careers in the field of computational earth science.

The maximum fellowship stipend for academic year 1999-2000 is \$15,000. The institutional payment is \$10,375. Approximately 130 awards will be made ranging from \$126,875 to \$750,000 per year.

The application deadline is **October 4, 1999**. For applications or further information contact Cosette H. Ryan, Graduate Assistance in Areas of National Need Program, U.S. Department of Education, International Education and Graduate Program Service, 400 Maryland Avenue SW Suite 600-B, Portals Building, Washington, DC 20202-5247; 202.260-3608, cosette_ryan@ed.gov. The web site is <http://www.ed.gov/news.html>.

■ National Science Foundation Alan T. Waterman Award

The Alan T. Waterman Award committee is inviting nominations for the 25th Waterman Award. The award is presented annually by the National Science Foundation (NSF) and National Science Board to an outstanding young researcher in any field or science of engineering funded by NSF. It consists of a citation, a bronze medal, and a nonrestrictive grant of \$500,000 over a 3-year period for scientific research or advanced study in the biological, mathematical, medical, engineering, physical, social, or other sciences at the institution of the recipient's choice.

Questions concerning the procedures, requests for additional information, or nomination or reference forms should be directed to the Committee's executive secretary, Mrs. Susan Fannoney, by email at sfannonne@nsf.gov or by telephone at 703.306.1096. The deadline for submission of nominations is **October 31, 1999**. The complete announcement may be found at <http://www.nsf.gov/cgi-bin/getpub?nsf99134>.

■ AARP Andrus Foundation

The American Association for Retired Persons (AARP) Andrus Foundation funds opportunities in aging research in two areas:

1. Aging and financial security. Sub-areas include: future directions in private savings, and the economic impact of chronic health conditions. Awards will be made for up to two years for a maximum of \$75,000 including indirect costs. Up to 10 grants will be awarded.
2. Living with chronic health conditions. Sub-areas include: new ways to assess the impact of chronic diseases, and maximizing adaptation to chronic health disease. Awards will be made for up to two years for a maximum of \$100,000 including indirect costs. Up to 10 grants will be awarded.

Letters of Intent are requested by **January 15 each year**; full proposals are invited. For more information go to <http://www.andrus.org/grants.html>.

■ University of Minnesota Center for Molecular and Cellular Therapy

The University of Minnesota's Center for Molecular and Cellular Therapy (CMCT) is requesting proposals to assist with the development of novel therapeutic agents when an obstacle is encountered near the clinical implementation stage. The therapeutic agent should be near initial clinical application or expansion of clinical use and have encountered specific obstacles that impede clinical use.

Funding is limited in time, must relate to a definable outcome, and other funds must be available to continue development of the agent beyond CMCT funding.

For additional information, contact Jeffrey McCullough, M.D., director of the center, 612.626.3272, mccul001@tc.umn.edu.

■ National Pancreas Foundation

The National Pancreas Foundation (NPF), a newly formed charitable trust, is accepting applications from persons conducting research in pancreatic diseases.

The application deadline is **October 1, 1999**. Applications must be requested directly from the agency. Contact William I. Birsic, National Pancreas Foundation, PO Box 935, Wexford, PA 15090-0935, 1.800.npf-fund; npf@trfn.clpgh.org, <http://trfn.clpgh.org/npf>.

■ Agency for Health Care Policy and Research Healthcare Markets and Managed Care

The Agency for Health Care Policy and Research is inviting applications for multicomponent research program project grants to support, conduct, and disseminate health services research about the roles that managed care and other market forces play in the organization, financing, and delivery of healthcare.

Two million two hundred thousand is available for two or three awards, for a project period of five years.

A letter of intent is requested by **September 2, 1999**; full proposals are due **November 10, 1999**. Contact Michael Hagan, 301.594.6768, fax 301.594.2314, wencinos@ahcpr.gov. The complete announcement may be found at <http://www.nih.gov/grants/guide/rfa-files/RFA-HS-00-001.html>.

■ Food and Drug Administration Clinical Studies of Safety and Effectiveness of Orphan Products

The Food and Drug Administration (FDA) is accepting proposals for Clinical Studies and Safety and Effectiveness of Orphan Products, which are defined as drugs, biologics, medical devices, and foods for medical purposes that are indicated for a rare disease or condition (i.e., one with a prevalence, not incidence, of fewer than 200,000 people in the United States).

FDA has made changes to this grant program for FY2000.

Approximately \$11.5 million will be available, of which \$815 million will be for noncompeting continuation awards. This will leave \$3 million for funding approximately 10 new applications. Awards up to \$100,000 in direct costs will be made.

The deadline dates are **November 15, 1999** and **April 3, 2000**. Application forms are available from Maura C. Stephanos, Grants Management specialist, Division of Contracts and Procurement Management (HFA-522), Food and Drug Administration, 5600 Fishers Land, Room 2129, Rockville, MD 20852. Forms may also be found at <http://222.nih.gov/grants/funding/phs398/forms—toc.html>.

Faculty Research, Training, and Service Awards

This section contains statistics on proposals and awards recently processed by SPA. In addition, we have selected awards received by faculty during preceding months. Faculty who have received awards they would like mentioned in a future *Research Review* may send the pertinent data, as exemplified below, to Tove Jespersen at SPA, tove@orta.umn.edu.

Proposal and Award Summary

	Number	Amount
Proposals Submitted		
June 1999	423	\$ 115,435,823
Awards Processed		
June 1999	283	34,640,149
Proposals Submitted		
July 1998 - June 1999	4,072	904,403,036
Awards Processed		
July 1998 - June 1999	3,148	364,949,304
Proposals Submitted		
July 1997 - June 1998	4,061	824,538,930
Awards Processed		
July 1997 - June 1998	2,953	359,260,299

A Rational Framework for In-situ Geotechnical and Pavement Characterization by Wave Methods

Bojan B. Guzina, Civil Engineering

National Science Foundation
\$210,000 - 6/1/99-5/31/03

Drug Abuse Research Center in Basic and Molecular Cell Biology

Horace Loh, Pharmacology

NIH, NIDA
\$1,000,000 - 9/30/98-6/30/99

Bay 13-9952 Imaging Study

Donald B. Hunninghake, Pharmacology
Larry W. Kotek, Medicine

Bayer Corporation
\$217,736 - 5/11/99-12/31/99

Placebo-Controlled Study of Higher Doses of Omapatrilat in Subjects with Mild to Moderate Hypertension

Donald B. Hunninghake, Pharmacology
Larry W. Kotek, Medicine

Bristol-Myers Squibb Pharmaceutical Research Institute
\$30,192 - 2/10/99-12/31/99

Study of Fluvastatin Administered Every Evening in Patients with Mixed Dyslipidemia

Donald B. Hunninghake, Pharmacology
Larry W. Kotek, Medicine

Novartis Pharmaceuticals Corp.
\$21,828 - 10/1/98-3/15/00

Mycophenolate Mofetil (MMF) in Liver Transplant Patients with Renal Impairment

John R. Lake, Physiology

Roche Laboratories, Inc.
\$76,734 - 5/19/99-7/31/00

A Novel Vertebrate Transposon Vector for Gene Therapy

R. Scott McIvor, Institute of Human Genetics
Perry B. Hackett, Jr., Genetics and Cell Biology

NIH, NIDDK
\$147,000 - 6/1/99-3/31/00

Candida Pathogenesis in Surgery and Trauma

Carol L. Wells, Laboratory Medicine and Pathology
Stanley L. Erlandsen, Genetics and Cell Biology

NIH, NIGMS
\$225,769 - 6/1/99-5/31/00

Evaluation of Ovarian Carcinoma Cells for Cell Adhesion Receptors

Amy Skubitz, Laboratory Medicine and Pathology

Minnesota Medical Foundation
\$14,500 - 6/1/99-5/31/00

Valaciclovir for Herpes Simplex Transmission

Timothy W. Schacker, Medicine

Glaxo Wellcome
\$219,560 - 11/1/98-6/30/00

Melacine for Resected Stage III Melanoma

Arkadiusz Dudek, Medicine

Schering Corp.
\$47,500 - 11/1/98-12/31/00

Linezolid for Treatment of Vancomycin-Resistant Enterococcal (VRE) Infections

L.D. Sabath, Medicine

Icon Clinical Research
\$42,960 - 3/25/99-12/31/99

Effect of Riluzole on Progression of Parkinson's Disease

Paul J. Tuite, Neurology

Brenda J. Ebbitt, Neurology

Rhone-Poulenc Rorer Pharmaceuticals, Inc.
\$74,116 - 4/30/99-12/31/01

Open Label Trial of Rasagiline

Paul J. Tuite, Neurology

Brenda J. Ebbitt, Neurology

Teva Pharmaceutical Industries, Inc.
\$15,552 - 2/24/99-2/24/00

Phase II Trial of Chemotherapy Alone Versus Chemotherapy Plus

Linda F. Carson, Obstetrics and Gynecology

Leo B. Twigg, Obstetrics and Gynecology

Schering-Plough Corp.
\$114,093 - 5/10/99-9/30/00

Identification and Characterization of the Gene Encoding the R4 Protein Group B Streptococcus

Patricia Ferrieri, Pediatrics

Minnesota Medical Foundation
\$11,624 - 5/1/99-4/30/00

Relationship Between Anxiety Disorders and Alcoholism

Carrie Borchardt, Psychiatry

Matt G. Kushner, Psychiatry

Minnesota Medical Foundation
\$9,950 - 3/1/99-2/29/00

Non-Invasive Quantification of Collateral Development

Michael Jerosch-Herold, Radiology

Norbert Wilke, Radiology

Siemens Medical Systems, Inc.
\$402,970 - 3/1/99-10/30/01

Physiological Basis of Functional Magnetic Resonance Imaging (fMRI) Signals

Seong-Gi Kim, Radiology

Costantin Iadecola, Neurology

Kamil Ugurbil, Radiology

NIH, NINDS
\$318,616 - 5/15/99-3/31/00

Percutaneous Repair of Aortic Bifurcation Aneurysm

David Hunter, Radiology

Myra M Urness, Radiology

Aga Medical Corporation
\$70,837 - 3/1/99-1/31/01

Creation of a Permanent Inter-Atrial Shunt

David Hunter, Radiology
Myra M Urness, Radiology

Aga Medical Corporation
\$69,600 - 3/1/99-11/30/00

In Vivo Evaluation of a Proprietary Mitral Heart Valve

Richard W. Bianco, Surgery

St. Jude Medical, Inc., St. Paul
\$142,667 - 3/1/99-2/29/00

Two Daclizumab Dosing Strategies

Abhinav Humar, Surgery
Marybeth Drangsvet, Surgery

University of Tennessee
\$140,000 - 1/1/99-12/31/02

In Vivo Blood Biocompatibility of Heart Valve Materials

Richard W. Bianco, Surgery

St Jude Medical, Inc., St. Paul
\$27,757 - 2/23/99-2/25/00

Comparison of Neutralase with Protamine in Patients Undergoing Coronary Artery Bypass Graft Surgery

J. Ernesto Molina, Surgery

Ibex Corp.
\$1,200 - 6/1/98-3/31/99

New Designed Tracheo-Bronchial Stent for Placement Across Bronchial Branches Origin

Donald R. Zander,
Haraldur Bjarnason, Radiology

Aga Medical Corporation
\$99,000 - 3/30/99-3/31/02

An Integrated Genomic Information Environment

Ernest Retzel, Microbiology

Novartis Crop Protection
\$1,999,862 - 1/1/99-12/31/00

Cooperating Genetic Events in Myeloid Leukemia Development

David A. Largaespada, Cancer Center

Geyer Foundation
\$50,000 - 4/1/99-9/30/99

Case Management of Native Women with Fetal Alcohol Infants

Amos S. Deinard, Community University Health Care Center
St. of Minn., Department of Human Services
\$113,873 - 9/15/98-6/30/99

Minocin Periodontal Formulation

Larry F. Wolff, Preventive Sciences

Orapharma, Inc.
\$220,374 - 10/21/98-2/16/00

New Tools for Basic Neurobiological Research

Patrick Mantyh, Preventive Sciences

Advanced Targeting Systems
\$63,798 - 5/1/98-4/30/00

Immune System Activation and Swine Health and Growth

Thomas W. Molitor, Clinical and Population Sciences
K. H. Choi, Veterinary Pathobiology
Biotechnology Research and Development Corp.
\$55,000 - 1/1/99-12/31/99

Equine Neonatal Education Program and Colostrum Network

Tracy A. Turner, Clinical and Population Sciences
Minnesota Racing Commission
\$989 - 1/1/99-6/30/99

Development of a Recombinant IBDV Vaccine

Jagdev M. Sharma, Veterinary Pathobiology

Sota Tec Fund
\$164,206 - 6/1/99-5/31/00

Oral Immunization to Induce Mucosal Antiviral Immunity

Dennis Foss, Veterinary Pathobiology
Michael P. Murtaugh, Veterinary Pathobiology
National Pork Producers Council
\$18,490 - 6/1/99-5/31/00

Tera-Data Analysis and Visualization

Paul R. Woodward, Astronomy
University of Illinois, Chicago
\$500,000 - 10/14/98-10/31/99

Techniques for Determining Multilayer Film Adhesion

William W. Gerberich, Chemical Engineering and Materials Science
Sandia National Laboratories
\$19,312 - 5/24/99-12/31/99

Blue Stream/Black Sea Pipeline Project

Gary N. Parker, Civil Engineering
Woodward-Clyde Consultants
\$22,732 - 3/3/99-6/2/99

Static Liquefaction Laboratory Testing

Andrew Drescher, Civil Engineering
Marc C. Loken, Civil Engineering
St. of Minn., Department of Natural Resources
\$20,000 - 3/17/99-6/30/99

Context-Dependent Network Agents

Bruce F. Wollenberg, Electrical and Computer Engineering
Carnegie-Mellon University
\$60,000 - 1/1/99-12/31/99

Vermilion District Geological, Geophysical, and Mineral Prospect Maps

David L. Southwick, Geology and Geophysics
St. of Minn., Department of Natural Resources
\$12,250 - 2/23/99-6/30/99

Mercury in Paleoproterozoic Rocks of the Mesabi Iron Range

David L. Southwick, Geology and Geophysics
Glenn B. Morey, Geological Survey
St. of Minn., Department of Natural Resources
\$8,000 - 3/17/99-6/30/99

Geochemical Characteristics of Early Proterozoic Volcanic and Hyababysal Igneous Rocks

David L. Southwick, Geology and Geophysics
St. of Minn., Department of Natural Resources
\$6,950 - 4/1/99-6/30/99

Diesel Aerosol Exposure

David B. Kittelson, Mechanical Engineering
Winthrop F. Watts, Mechanical Engineering
G Ramachandran, Environmental and Occupational Health
Health Effects Institute
\$195,267 - 5/19/99-5/19/00

Identification, Distribution, Habitat Use of Masked Shrews

Elmer C. Birney, Bell Museum of Natural History
Robert M. Zink, Bell Museum of Natural History
St. of Minn., Department of Natural Resources
\$3,000 - 9/15/98-6/30/00

Development, Acquisition, and Transmission of Termite-Fishing Skills in Wild Chimpanzees

Anne E. Pusey, Ecology, Evolution and Behavior
Elizabeth Vinson, Ecology, Evolution and Behavior
Leakey Foundation
\$5,778 - 6/1/99-1/2/00

Evaluation of Gas/Odor Control Technologies from Pig Barns

Larry D. Jacobson, Biosystems and Agricultural Engineering
Minnesota Pork Producers Association
\$15,000 - 5/1/99-9/1/00

Whitewater Watershed Monitoring Project

John L. Nieber, Biosystems and Agricultural Engineering
St. of Minn., Pollution Control Agency
\$4,956 - 7/9/98-12/31/98

North Central Region Cooperation for Improvement of Soybean Transformation

David A. Somers, Agronomy and Plant Genetics
North Central Soybean Research Program
\$220,000 - 3/1/99-2/29/00

Field and Greenhouse Evaluation for Sclerotinia Stem Rot

James E. Kurle, Agronomy and Plant Genetics
Minnesota Soybean Research and Promotion Council
\$61,930 - 4/1/99-4/30/00

Control of Common Waterplantain in Wild Rice with Carfentrazone (Skunk) Herbicide

Ervin Oelke, Agronomy and Plant Genetics
Minnesota Cultivated Wild Rice Council
\$1,500 - 3/1/99-10/15/99

Diet Formulation and Ingredient Selection to Reduce Odor

Gerald Shurson, Animal Science
Mark H. Whitney, Animal Science
Minnesota Pork Producers Association
\$15,000 - 5/1/99-9/1/00

Screening Systems for Resistance to Fusarium Head Blight

Ruth Dill-Macky, Plant Pathology
Minnesota Wheat Research and Promotion Council
\$15,000 - 1/1/99-12/31/99

Factors Affecting Grain Quality Variability

D.J. Mulla, Soil, Water, and Climate
Minnesota Corn and Research Promotion Council
\$61,897 - 4/30/99-4/15/00

Evaluation of Rock Fines as a Sustainable Soil Amendment

Carl J. Rosen, Soil, Water, and Climate
St. of Minn., Department of Natural Resources
\$10,000 - 1/26/99-6/30/99

Characteristics of Restored Prairie Wetlands Ten Years Post Restoration

Susan Galatowitsch, Plant Biology
Ducks Unlimited Inc.
\$10,000 - 4/1/99-4/1/00

Improving Population Predictions for the Sugarbeet Root Maggot

Ian Macrae, Entomology
Sugarbeet Research and Educational Board of Mn and ND
\$15,560 - 4/1/99-3/31/00

Fusarium Nursery and Seed Distribution Studies

George Nelson, Soil, Water, and Climate
Gary D. Lemme, West Central Ag. Experiment Station, Morris
Minnesota Wheat Research and Promotion Council
\$10,000 - 1/1/99-12/31/00

Forest Management Guideline Education

Barbara Coffin, Natural Resources
St. of Minn., Department of Natural Resources
\$50,000 - 2/15/99-6/30/99

24th Midwest Philosophy Colloquium: Concerns of Privacy

Ishtiyaqu Haji, Philosophy, Morris
Minnesota Humanities Commission
\$3,000 - 1/22/99-5/15/00

The Wishing Stone Fall Local Movements, Foraging, and Population Dynamics of Tundra Swans in the Upper Mississippi River

James A. Cooper, Fisheries and Wildlife
David E. Andersen, Fisheries and Wildlife
USDI, U.S. Fish and Wildlife Service
\$10,000 - 10/1/98-9/30/99

Use of DEQUEST Phosphonates in the Production of Bleached and Unbleached Kraft Pulp

Ulrike Tschirner, Wood and Paper Science
Solutia, Inc.
\$110,886 - 3/15/99-3/14/00

Evaluating Competitive Conditions for White Pine Seedlings

Klaus J. Puettmann, Forest Resources
Iron Range Resources Rehabilitation Board
\$40,000 - 2/28/98-12/31/99

Achieving Major Change in Minor Watersheds

James L. Anderson, Soil, Water, and Climate
St. of Minn., Pollution Control Agency
\$78,425 - 10/1/96-9/30/99

Calcium Carbonate Scale Inhibition Mechanism of Phosphonates under Kraft Process Conditions

Steven Severtson, Chemical Engineering and Materials Science
Solutia, Inc.
\$72,051 - 4/1/99-3/31/00

Integration and Disintegration in the Former Soviet Block

Josef Mestenhauer, Educational Policy and Administration
U.S. Department of Education
\$55,000 - 3/31/99-8/31/99

Ensuring that "All Means All" in the Provision of School to Work

David R. Johnson, Educational Psychology
St. of Minn., Department of Children, Families, and Learning
\$94,452 - 10/1/98-9/30/99

Study Urban Agricultural Education Efforts in Minnesota

Roland Peterson, Work, Community and Family Education
St. of Minn., Department of Children, Families, and Learning
\$8,336 - 7/1/98-11/15/98

Study on Ultraviolet-Induced Signal Transduction

Zigang Dong, Hormel Institute
Harald H. Schmid, Hormel Institute
NIH, NCI
\$165,444 - 7/1/99-4/30/00

The Wishing Stone

Tap Payne, Theatre Arts, Morris
Julie Patterson-Prat, Theatre Arts, Morris
Daniel Webster, Theatre Arts, Morris
Lake Region Arts Council
\$2,400 - 3/1/99-6/15/99

Minnesota: Rivers and Fields

G. McIntosh, Physics, Morris
Roger Boleman, Media Services, Morris
Gary D. Lemme, West Central Ag. Experiment Station, Morris
Land Stewardship Project
\$2,000 - 4/16/99-6/30/00

Keeping Military History in the Game: The Study of War and the Study of Culture

John Q. Imholte, Social Sciences, Morris
Minnesota Humanities Commission
\$1,000 - 3/18/99-5/15/99

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It is generated by Human Resources and changed in your department.

For faculty changes, please call your **departmental** payroll or Human Resources coordinator.
(Faculty labels are those with a string of seven numbers printed above the addressee's name.)

For changes regarding *other* labels, please complete the following:

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Add **Department:** _____
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For non-faculty changes (see above), mail a copy of this page to:

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MJC
 8/29/99

September 1999

Volume XXIX, Number 3

<http://www.ospa.umn.edu/resrev.htm>

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Awards, Publications and Honors

For a complete listing of citations and all awards for the month of July, please go to <http://www.ospa.umn.edu/awards.htm>, or <http://www.ospa.umn.edu/publications.htm>.

NIH Site Visit is Scheduled for October 12 – 15, 1999

The NIH site visit team will be returning to the University of Minnesota on October 12th for three days of intense study of the effectiveness of implementation of the Sponsored Programs Management Model at the University. Four of the nine members of the team were in Minnesota for the informal visit in June. Some of the other five members came on the original site visit in November of 1995.

What are the challenges we face? They are in four areas:

- Roles & Responsibilities – the visitors will want to know whether you are aware of your role in the research process and understand your responsibilities. You should visit the website at <http://www.research.umn.edu/spp/roles.asp> to see the document that defines these things.
- Policies & Procedures – the visitors will also want to know whether you know about policies such as the Code of Conduct, Managing Program Income Earned on Sponsored Projects, Reporting Inventions, etc. that directly relate to research activities. These are conveniently laid out at <http://www.ospa.umn.edu/policy/respolcy.htm>.
- Staff Development (Education/Training) – an important part of the proper conduct of research is to ensure that staff have been presented opportunities to learn about not only proper fiscal management of sponsored funds, but also ethical issues such as plagiarism, conflict of interest, etc.
- Systems Adequacy – the site visit team, finally, will look at whether we have electronic systems that allow timely and accurate management of sponsored funds. Of course, we do. Financial FormsNirvana has been developed for purchasing goods and services (<http://nirvana.fss.umn.edu/>), and Financial Reports on the Web (<http://financial.reports.umn.edu/>) are there so that you can see what your balances are on a daily or monthly basis. Finally, EGMS (<http://nirvana.ortta.umn.edu/>) provides accurate means for preparation of budgets for proposals.

How will the site visit team work? They will come to you in your department to ask about your knowledge in the four areas above. Now, obviously, they are not going to go to every department, but we don't know who they will select, so it is prudent for those departments with NIH funding to be alerted.

Some examples of benchmarks in which NIH will probably be interested include:

Local Support

- o New model has department head's and dean's support
- o An environment of proper conduct of research is promoted

RESEARCH REVIEW

Volume XXIX, Number 3

September 1999

Editor: Bruce Erickson

Editorial Assistant: Tove Jespersen

Associate Vice President: Ed Wink

Research Review is a monthly publication of the office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 1100 Washington Avenue South, Suite 201, Minneapolis, MN 55415-1226, or call Bruce Erickson, 612.625.2354, erick210@ospa.umn.edu, or Tove Jespersen 612. 624.0061, tove@ospa.umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of each month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, or erick210@ospa.umn.edu.

Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New provisional rates effective Fall, 1999

TA, RA, AF: standard of gross salary	\$5.13/hr	+	7.6%
TA, RA, AF: advanced master's or Ph.D.	\$.93/hr	+	7.6%
Summer quarter TA, RA, AF	—		7.6%
Summer session TA, with tuition	\$9.68/hr	+	7.6%
Summer session TA, without tuition	—		7.6%
Professional program assistant	—		7.6%
Dental fellow *	\$3.35/hr		—
Medical fellow *	\$2.57/hr		—

To the rates listed above, add 7.7% to the 7.6% when a graduate student is enrolled for fewer than 3 credits, or less than 1 credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. **This is a change from previous years.**

Other Job Classes

	Civil Service	Academic	Post-doc class #9546
7/1/98 - 6/30/99	25.6%	27.1%	13.9%
7/1/99 - 6/30/00	24.4%	27.6%	14.2%
7/1/00 - 6/30/01	27.9%	27.4%	14.3%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009.

Complete details of fringe benefit rates for all classes of UM employees are available at www.fpd.finop.umn.edu/groups/ppd/documents/rates/fringe1999_2000.cfm.

Rate changes will be reflected in this section.

Indirect Cost Rates

The rates listed at right come from the University's most recent indirect cost agreement, dated *March 1, 1999*. This date should be used where required on applications. For periods beyond June 30, 1999, the rates listed to the right are *provisional* until amended.

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration, 612.624.5599. If you have questions on indirect cost rate development, please call Steve Bradley, 612.626.9895.

Provisions Rates for Periods after 6/30/99, until amended**Research**

On-campus	47.00%
Off-campus *	26.00%
SAFL on-campus	54.00%
SAFL off-campus *	26.00%
Hormel on-campus	50.00%
Hormel off-campus *	26.00%

Other Sponsored Activity

On-campus	35.00%
Off-campus *	26.00%

Instruction

On-campus	52.00%
Off-campus *	26.00%

* A project is considered off-campus if more than 50% of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University of Minnesota.

University of Minnesota Scientists Help to Discover New Information on Subatomic Neutrinos

One half mile underground in the Soudan Underground Mine State Park in northern Minnesota, scientists and government officials hope to unearth new information about the subatomic particles known as neutrinos.

Those wielding pickaxes in the former iron mine included Professor Earl Peterson and Vice President for Research Christine Maziar from the University of Minnesota, Dr. John O'Fallon of the U.S. Department of Energy (DOE), Dr. Michael Witherell, director of DOE's Fermi National Accelerator Laboratory, scientists from Stanford University, and other government and University of Minnesota officials. They started to chip away at the huge cavern that will be home to a 5,000-ton steel particle detector. Physicists of the 200-member MINOS (Main Injector Neutrino Oscillation Search) experiment will use the detector to explore the question of neutrino mass.

Until recently, scientists believed that, unlike other fundamental particles of matter, neutrinos possessed neither mass nor electric charge. However, recent results from experiments in Japan, in Soudan itself, and elsewhere seem to point to a small mass for these elusive particles. Because they are so numerous—each square meter of the

atmosphere contains about 300 million neutrinos—even a small mass for the neutrino would have big consequences for our understanding of the nature and distribution of mass in the universe.

For the MINOS experiment, physicists at DOE's Fermilab, located 40 miles west of Chicago, will use Fermilab's newly-completed Main Injector Particle Accelerator to direct an intense beam of one type of neutrinos, called muon neutrinos, to the underground Soudan detector, 450 miles away. Beginning in early 2003, MINOS collaborators will use the detector to determine whether some of the muon neutrinos in the beam have changed to another type, known as tau neutrinos. Such a change, from one type to another, would constitute clear evidence for neutrino mass and would allow physicists to begin to calculate just how much mass the particles possess.

The MINOS experiment differs from earlier neutrino-mass experiments because it uses an accelerator-produced beam of neutrinos rather than naturally occurring neutrinos that stream to earth by the billions from reactions in the

sun and from cosmic ray interactions in the atmosphere. Earlier experimenters detected fewer solar and cosmic ray interactions in the atmosphere. Earlier experimenters detected fewer solar and cosmic ray neutrinos than they expected at detectors here on earth, leading them to conclude that one type of

neutrino had changed to another type and hence "disappeared" from detection. In contrast, the MINOS experiment is designed to detect not only the disappearance of muon neutrinos, but also their appearance as neutrinos of a

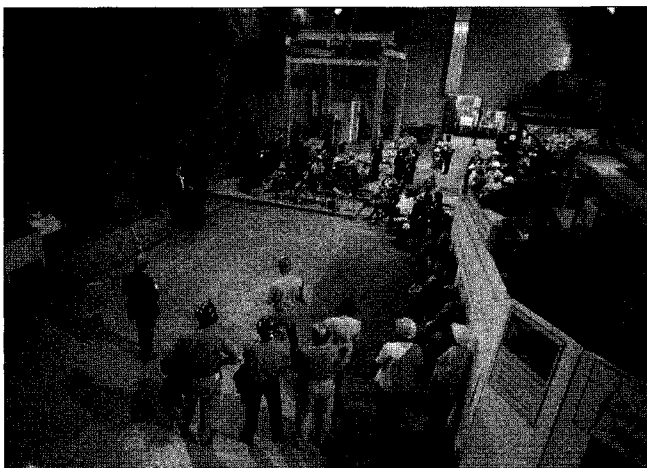
different type, tau neutrinos. When the experiment begins operating, scientists expect to observe upwards of 10,000 neutrino interactions each year.

"The study of fundamental properties of neutrinos is coming of age," said University of Minnesota Professor of Physics Earl Peterson, who manages the University's Soudan Laboratory. "Solar and our own atmosphere experiments have given us very remarkable data and opened up new possibilities for our understanding of neutrinos. Now we need accelerator experiments to resolve the possibilities and answer the questions they have raised."

Locating the detector 2,500 feet below ground allows scientists to screen out cosmic rays that would otherwise flood the particle detector with unwanted signals. The changeover from iron mining to mining the secrets of subatomic particles also provides economic stimu-



Officials Breaking Ground



Soudan Underground Mine

New License Agreement lets University Use DuPont Technology

University of Minnesota Patents and Technology Marketing (PTM) staff recently completed a nonexclusive, noncommercial, research-use only license that will allow researchers at the University of Minnesota to use Cre-lox technology owned by DuPont. This license is an outcome of over a year of negotiations between the National Institutes of Health (NIH) and DuPont to allow academic researchers access to this privately held research invention.

The Cre-lox technology involves site-specific recombination of DNA using the cre gene and lox sites. Its usefulness in basic medical research is widely recognized. Cre-lox site-directed recombination has shown great utility in improving existing gene knockout technology, particularly when used in genetically manipulated mouse models. The parties say the new agreement streamlines and clarifies the manner in which the Cre-lox technology is made available to academic research laboratories.

University of Minnesota researchers now may make, use, breed, and cross-breed Cre-lox materials plus receive material containing Cre DNA and/or Lox DNA and send it to other noncommercial entities (or commercial entities with approval of DuPont) via the Material Transfer Agreement which is an attachment to the license. University researchers may also send Cre-lox materials to other noncommercial entities who are Cre-lox licensees of DuPont. There are three exclusions in the license between the University and DuPont regarding this technology. The exclusions include: a) use of cre DNA and/or lox DNA in higher plants or agricultural applications; b) use of cre DNA and/or lox DNA in the alteration of mouse embryonic stem cells or other pluripotential mouse cells for the purpose of preparing a library of such mouse embryonic stem cells or other pluripotential mouse cells containing

cre DNA and/or lox DNA; and c) use of any material containing cre DNA and/or lox DNA which is encompassed by the DuPont Patents Rights ("Material") for any commercial purpose or for the direct benefit of any for-profit institution.

The parties believe that this agreement regarding a valuable, commercially-owned, enabling research tool will serve as a model for similar agreements between academic institutions and commercial research organizations. It will also resolve long-standing issues of access by academics to commercially-owned technology.

"This agreement helps the University of Minnesota take another step in establishing cooperative relationships between private industry and University researchers," said Christine Maziar, vice

president for Research and dean of the University's Graduate School.

The agreement distinguishes between academic and commercial uses of the technology. DuPont has agreed to make the technology available without cost to University of Minnesota researchers for noncommercial purposes. Discoveries made within the academic realm through use of the Cre-lox technology will not be subject to any payments to DuPont so long as the discovery is made outside of any benefit accruing to a commercial entity.

To enact a Material Transfer Agreement or to get more information, contact a University of Minnesota PTM staff member at 612.624.0550 and look at the PTM website at <http://ptm.umn.edu>.

Sponsored Projects Administration

Recent Publications by University Authors

For the past several years, *Research Review* has been printing a selected number of citations by University authors. The published list had two sources, 1) citations downloaded from Lumina, and 2) citations sent directly to us by the individual or department.

Effective with this issue, *Research Review* will only publish those citations **sent directly to us**. These will appear only on our web page; they will no longer be printed in the hard copy. Go to <http://www.ospa.umn.edu/publications.htm>.

Please continue to send your citations to Tove Jespersen, tove@ospa.umn.edu.

Faculty Research, Training, and Service Awards

Research Review has also printed a list of new and competing continuation awards received by faculty researchers. Due to space constraints, it was rarely a complete list. However, effective with this issue, awards will no longer be printed in the hard copy of the *Research Review*. They will appear only on the web and will include **all awards received** for the time frame indicated. Go to <http://www.ospa.umn.edu/awards.htm>.

Sponsored Projects Administration

Proposal and Award Activity - Fiscal Year 1999

The table below shows the distribution of proposals submitted and awards received during FY 1999 among University colleges. One word of caution: proposals submitted during one fiscal year are generally not awarded until the

next year. Comparing the level of proposals submitted in one year to awards received in the same year is not appropriate. For example, the Carlson School of Management submitted 19 proposals and received 25 awards.

University of Minnesota
Proposal and Award Activity Fiscal Year 1999

By College

College	Proposals Submitted		Awards Received	
	Number	Amount	Number	Amount
Medical School	2,959	\$ 300,144,794	965	\$ 119,750,830
School of Dentistry	48	7,943,635	37	4,383,733
College of Pharmacy	51	6,048,398	45	5,154,168
School of Nursing	32	5,736,232	16	1,837,783
School of Public Health	257	115,791,617	183	47,640,126
College of Veterinary Medicine	144	21,117,081	69	5,172,325
UMD School of Medicine	45	6,929,085	42	4,149,749
Academic Health Center Shared	78	26,006,357	61	8,567,647
Health Sciences Administration	2	454,849	0	0
<i>Total Health Sciences</i>	1,916	\$ 490,172,048	1,418	\$ 196,656,361
Institute of Technology	718	\$ 146,081,919	632	\$ 73,843,004
College of Agriculture, Food, Env Sciences	314	31,562,743	212	18,410,269
College of Architecture & Landscape Arch	20	1,066,470	17	1,409,945
College of Biological Sciences	182	32,929,268	132	13,585,945
College of Education & Human Development	168	55,036,265	153	15,566,776
College of Human Ecology	58	14,097,099	31	1,565,411
College of Liberal Arts	112	39,094,645	92	8,404,406
College of Natural Resources	108	12,687,057	103	6,300,105
Carlson School of Management	19	4,155,129	25	2,194,163
Humphrey Institute of Public Affairs	27	7,989,240	17	1,193,303
Law School	2	307,713	1	20,000
General College	22	4,093,933	12	2,009,373
Agricultural Experiment Station	22	1,204,520	18	424,966
MN Extension Service	16	9,072,005	15	491,094
University College	14	546,315	22	786,303
Other	2	15,000	0	0
<i>Total Twin Cities Provost</i>	1,804	\$ 359,939,321	1,482	\$ 146,205,063
VP for Research	83	\$ 22,106,056	58	\$ 8,262,373
UM-Duluth	186	18,955,951	135	8,221,157
UM-Morris	33	1,102,539	15	120,280
UM-Crookston	9	1,457,464	8	802,792
Other Units	41	10,669,657	32	4,681,279
<i>Grand Total</i>	4,072	\$ 904,403,036	3,148	\$ 364,949,305

New Revision to OMB Data Availability Regulation

The Office of Management and Budget issued, for public comment, a new proposed version of regulations for the availability of federally-funded research data. Now is the time to let the Administration know your thoughts on this revision. OMB plans to publish a final version of the regulation on or before September 30, 1999. **All additional comments must be received by OMB by September 10, 1999.**

OMB received over 9,000 comments on the first proposed revision to Circular A-110. Approximately 55 percent of comments supported the proposed

revision and 37 percent opposed it. After reviewing the feedback, OMB felt it necessary to develop clarifying definitions for some terms such as "research data," and "published," as intended under the regulation. According to OMB, it has "used its discretion" to attempt to "balance the need for public access to research data with protections of the research process. Specifically, OMB seeks to further the interest of the public in obtaining the information needed to validate Federally-funded research findings, ensure that research can continue to be conducted in accordance with the tradi-

tional scientific process, and implement a public-access process that will be workable in practice." Additionally, OMB determined that the regulation cannot "readily and easily be implemented outside of the regulatory context," and has replaced the original wording "used by the Federal Government in developing policy or rules."

To view and comment on the text of both versions of the proposed revision, as well as background and supplementary information, go to OMB's web page <http://www.whitehouse.gov/OMB/fedreg/2ndnotice-a110.html>.

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NIH Site Visit {continued from page 1}

Financial Transactions

- o Encumbers purchases from external vendors, using Financial FormsNirvana POT
- o Encumbers payroll by grant budget period OR, until PeopleSoft Payroll is installed, has payroll encumbering turned off
- o Has documented PI designees to allow alternate signing for purchase orders, if any
- o Reviews travel before charge is made to a grant
- o Does not enter data into local system that is/could be entered into central system (i.e., no shadow system)
- o Enters payment documents as Financial FormsNirvana Payment Vouchers (PVs) promptly after receiving invoice and packing slip, and performing 3-way match

On-Line Reports

- o Uses the Agency Specific Report on the Web as the basis for financial reporting to PIs
- o Monitors the Accounts in Deficit Report; resolves deficit situations promptly

Electronic Grants Management System (EGMS)

- o Prepares proposal budgets in EGMS
- o Routes Proposal Routing Forms (BA23s) electronically, including to department head, dean, and SPA

Effort Certification

- o Certifies effort on time and accurately

Certified Approver Program

- o Has identified at least one person who will take the Certified Approver test, Part 1 and Part 2
- o Has plan in place for resolution of Certified Approver conflict

Policies & Procedures

- o Knows University, state and federal regulations governing management of sponsored projects and where to find them, particularly policies on topics such as conduct, program income, invention reporting and disclosures, and financial and business conflict of interest.

So, the countdown has begun! We expect to be ready and solicit your help in making sure we are!!

David W. Hamilton, Ph.D.
Director, Sponsored Programs Management Project

Neutrinos {continued from page 3}

lus to the northeastern Minnesota area. The addition of construction jobs and operating personnel at the Soudan site is estimated to contribute up to \$15 million to the local economy in the next few years. Iron ore for the \$45 million detector's 486 steel plates will come from the Hibbing Taconite Company in nearby Hibbing, Minnesota.

Funding for the project comes from DOE, the National Science Foundation, the State of Minnesota, and science funding agencies abroad. Information for this article came from DOE's Fermilab.

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Please Note:

In keeping with the general change in e-mail designations taking place campus-wide, revised e-mail addresses have been entered for SPA staff. See the directory on page 15 of this issue, and directories in subsequent issues. Addresses of SPA staff not listed in the *Research Review* may be found on SPA's web page, <http://ospa.umn.edu/directry.htm>.

Note: Prior approval requests should now go to priorapp@tc.umn.edu.

Steps to Process NSF Fastlane Proposals

1. To use FastLane, the first step is to get a Personal Identification Number, (PIN). In the Twin Cities, contact Kara Meissner at 612.624.4542, e-mail meiss006@tc.umn.edu. In Morris, contact Tom Mahoney at 320.589.6593, e-mail mahoney@caa.mrs.umn.edu. In Duluth, contact Janice Varner at 218.726.6593, e-mail jvarner@d.umn.edu.
2. Go to the FastLane website: <http://www.fastlane.nsf.gov/>. Print Instructions for Preparing and Submitting a Standard NSF Proposal via FastLane and Frequently Asked Questions: FastLane Proposal Preparation. Sponsored Projects Administration (SPA) staff recommend you also print FastLane PDF Creation Hints and Pointers and the PI Tipsheet for Proposal Preparation. The latter two are located on the first screen of proposal preparation under More Information.
3. You will need the following software versions:
 - Netscape Navigator, 3.01 or above, or
 - Microsoft Internet Explorer, 4.01 or above,
 - Adobe Acrobat Reader 3.0, or above,
 - A PDF file converter
4. Access FastLane's Homepage at <http://www.fastlane.nsf.gov/> to prepare a proposal. The PI should scroll down the page to PI/Co-PI functions and click the Proposal Preparation link.
5. Type in your last name, Social Security number, and PIN. Then click the Login button. The PI will get a screen entitled New Proposal Information. Click on the Create New Proposal button and the Form Selector screen will appear.

6. Select the forms you need to complete and click the Go To Form button.
7. Once you complete the Cover Sheet and Budget Pages, select the ALLOW SRO ACCESS BUTTON for the grant administrator to have access to the proposal as you are working on it. Please provide this access at least three days prior to the deadline in case there are corrections or technical difficulties. The grant administrator will contact the PI or proposal contact person with changes or additions.
8. *Contact the appropriate grant administrators to let them know when the proposal is due and if it is for a specific program announcement.* This will give the grant administrator time to read through the program announcement and to gauge how many proposals will be submitted for a particular deadline.

Once the grant administrator checks to ensure the proposal is complete and correct, submit one full copy of the proposal plus a copy of the PRE, a signed copy of the certification page and any other documents with signatures or required forms not available in FastLane to SPA by 5 p.m. on the day before the submission deadline.

NOTE: PIs may assign a proposal PIN number for a specific proposal to allow others to enter data.

Research Subjects Protection Programs Animal Usage Form

The Institutional Animal Care and Use Committee (IACUC) has developed an on-line tutorial on filling out the Animal Usage Form. It may be found at <http://www.ahc.umn.edu/rar/aufutorial.html>.

The tutorial gives examples of good and inadequate answers for questions on the form, and explains the rationale for the question. The tutorial is stand-alone. It cannot be used to complete a form or to submit it on-line.

We hope you will find this a useful tool. Any feedback will be appreciated. Send comments to coope019@tc.umn.edu.

FastLane No-Cost Extensions

Sponsored Projects Administration (SPA) as the institutional representative, may authorize a one-time extension of the expiration date of the grant of up to 12 months if additional time beyond the established expiration date is required to assure adequate completion of the original scope of work, within the funds already made available. This one-time extension may not be exercised merely for the purpose of using the unliquidated balances. As of May 3, 1999, *no-cost extension requests must be submitted via FastLane.* The PI must include the revised expiration date being requested, the need for the extension, an estimate of the unobligated funds remaining at the time the grant is due to end and a plan for their use. SPA requires department chairs or deans to endorse the request. The PI may print a copy of the request and have the appropriate person sign this copy, or have the department chair or dean forward their approval via e-mail to the appropriate SPA grant administrator. SPA staff will not submit the FastLane request until they receive the department chair's or dean's approval. *Please note that NSF requires notification of grantee-approved no-cost extensions at least ten days prior to the expiration date specified in the grant to ensure accuracy of NSF's grant data.*

Moira Keane, Director, Research Subjects Protection Program
Dale Cooper, Associate Director, Office of Regulatory Affairs

New Policy on Education in the Responsible Conduct of Sponsored Research and Grants Management

Statement of Purpose

Faculty, staff, and students serve in various roles on projects and activities in support of the research, scholarship, and artistic mission of the University. The commitment to the highest standards of ethical behavior and fulfillment of the fiduciary duties of public funding are fundamental to the responsibility of serving as principal investigator or in another role on these projects. The University, in turn, has the responsibility to ensure that principal investigators, researchers, artists, scholars, and their staff and students have access to the necessary information and supporting resources to meet these expectations.

To help meet these shared responsibilities, the Vice President for Research and Dean of the Graduate School has established a program to address the current and continuing educational needs of all personnel involved in externally and internally funded research, instruction, and public service activities.

Guidelines

The following guidelines are adopted to direct the implementation of an educational program to address the needs of faculty, staff, and students:

1. The program will be under the direction of the Vice President for Research and Dean of the Graduate School.
2. The Vice President and Dean will establish and sustain three advisory committees, one for each of the major constituencies having organizational and functional responsibility on projects:
 - academic personnel (including faculty, department heads, directors, deans, and other academic administrators),
 - administrative staff (including all personnel who perform administrative tasks),
 - technical and research staff and students serving on projects (including graduate, undergraduate, and post-doctorate students).
3. Each advisory committee will
 - identify the educational needs of its constituency,
 - develop a comprehensive curriculum,
 - oversee the content of the programming,
 - recommend delivery formats,
 - propose appropriate recognition or accreditation,
 - establish continuing education requirements as appropriate.
4. In conjunction with the Vice President and Dean, the Center for Human Resource Development will maintain information on participation in educational activities and develop mechanisms to assess the effectiveness of the educational program.
5. The University has the responsibility to publicize the educational requirements of this policy to all employees, to commit the resources necessary to establish and sustain the ongoing educational program, and to see that it is actually carried out.

Go to <http://www1.umn.edu/usenate/policies/grantsmgmt.html>



Sponsored Projects Administration

Proposal Routing Forms (PRF)

Required for Revised Proposals

In the past there have been inconsistent criteria regarding submitting PRFs for revised proposals. After much discussion and review among the collegiate research deans and other institutional staff and to promote the implementation of the Electronic Grants Management System, (EGMS), *University officials decided to require PRFs on all revisions submitted to the sponsor.* This requirement will take effect November 1, 1999. Revisions do not include updates of other support, biosketch pages, or minor editorial changes. Revisions *do* include changes in budget, workscope, per-

sonnel and space requirements. Note: the web-based PRF must be completed (see related article on page 11).

As a reminder, revisions must come through the Sponsored Projects Administration, (SPA), for institutional signatures and certifications. Please make sure the revisions reach SPA prior to the deadline so grant administrators can review them. Revisions are subject to the same deadlines as new proposals.

If you have further questions regarding PRFs, please contact your grant administrator.

We're Moving!

During the first week in November, 1999, Sponsored Projects Administration (SPA), Sponsored Financial Reporting (SFR), and Patents and Technology Marketing (PTM) will relocate to the 4th floor of the new Gateway Building on Oak Street between University and Washington Avenues.

Your patience will be appreciated as we go through the cumbersome moving process. We're looking forward to being on campus, and being more accessible. We'll provide more information as it becomes available.

What's New in Grants Management

An index to changes and announcements

September 1999

(month 3 of UM fiscal 2000)

SPA Update 0001 – Revised Managing Sponsored Projects Manual

Notice Issued: 9/1/99
 Supersedes: 2/1/99 version
 Effective date: 8/31/99
 Change: The sponsored projects manual has been revised.
 Action to take: Go to <http://www.ospa.umn.edu/manual/revision.htm>. Print out the new pages and substitute them for the appropriate pages in the manual.

SPA Update 0002 – New PI Report Available: Main/Multiple Project Summary

Notice Issued: 9/1/99
 Supersedes: n/a
 Effective date: 7/6/99
 Change: n/a
 Action to take: See related article on page 10 of the September *Research Review*

SPA Update 0003 – Revisions to Program Income Policy

Notice Issued: 9/1/99
 Supersedes: 10/95 policy
 Effective date: 8/99
 Change: Significant changes have been made to the policy on *Charging Program Income Earned on Sponsored Accounts*.
 Action to take: See related article on page 10 of the September *Research Review*

SPA Update 0004 – Education in the Responsible Conduct of Sponsored Research and Grants Management

Notice Issued: 9/1/99
 Supersedes: n/a
 Effective date: 9/1/99
 Change: New policy in effect.
 Action to take: See related article on page 8 of the September *Research Review*

SPA Update 0005 – PRFs required for proposal revisions

Notice Issued: 9/1/99
 Supersedes: n/a
 Effective date: 11/1/99
 Change: Proposal Routing Forms must be completed for revisions
 Action to take: See Q & A on page 8 of the September *Research Review*

SPA Update 0006 – Web-based PRF Form Required

Notice Issued: 9/1/99
 Supersedes: n/a
 Effective date: 11/1/99
 Change: Web-based PRF must be used; other copies will not be accepted.
 Action to take: See related article on page 11 of the September *Research Review*

Reminder

Indirect Costs

To be Charged to First \$25,000 of Subcontracts and Consortium Agreements

The Division of Cost Allocation at the Department of Health and Human Services, the office that sets our indirect cost rate, mandates that the University charge indirect costs on the first \$25,000 of subcontracts and consortium agreements. This practice is part of federal regulations and is followed by other research universities. Details of the change are listed below:

Effective May 1, 1999, all new or competing renewal paper proposals received in SPA with a start date of July 1, 1999 or later have had indirect costs taken on the first \$25,000 of each subcontract per each project period. This change was programmed into EGMS last spring. All new and renewal proposals with a start date of July 1, 1999 or later that have been developed in EGMS will have this change applied to them.

The University will not take indirect costs for budgeted or unbudgeted subcontracts on the following projects:

- Projects already in progress
- Projects awarded but not started
- Proposals submitted
- Non-competing continuation proposals
- Supplemental requests related to these projects

Announcement

Notice: Sponsored Projects Administration, (SPA), staff recently revised the manual on managing sponsored projects. A list of significant changes is available on SPA's website at: <http://www.ospa.umn.edu>.

New PI Report Available:

Main/Multiple Project Summary

Effort and dollars can be split between several accounts when there are multiple PI's involved on a project. The new Main/Multiple Project Summary will provide summary information for each account as well as totals for the entire project. If you need more detailed information, this report allows you to choose an individual account number and you can link to the Project Summary – Expenses report for that specific account. The Main/Multiple Project Summary report can be run by entering the main account's area and organization number (parent) or by entering any of the associated account numbers (children).

How and when can you access the report? As of 7/6/99 the report was added to the PI (and Sponsored) report button. The Financial Reports on the Web are located at <http://financial.reports.umn.edu>. If you have further questions, please call the FSS Helpline at 612.624.1617.



Reminder

A New Threshold for Capitalization of Equipment

The University currently considers capital equipment to be moveable items with useful lives of more than two years and costs of \$500 or more per unit (items not meeting this definition are 'supplies'). Effective July 1, 1999, the University's equipment capitalization threshold changed from \$500 to \$2,500. Items costing \$500-\$2,499 that previously would have been considered equipment are now supplies. This threshold impacts researchers in the following ways: 1) items previously budgeted as equipment may not be supplies, 2) indirect costs may be charged on those supply items that were previously considered as equipment.

The University implemented this change to streamline procedures for capitalization and tracking, to create overall efficiencies, and to be more consistent with other universities and federal regulations.

Sponsored Projects Administration (SPA) is applying these changes to

unbudgeted as well as budgeted equipment as follows:

As of May 1, 1999, the new \$2,500 threshold was applied to all new and competitive renewal proposals received in SPA with a budget start date of July 1, 1999 or later.

EGMS incorporated this change at the end of March. All new and renewal proposals with a start date of July 1, 1999 or later that have been developed in EGMS had this change applied to them.

Any projects awarded under the old capitalization threshold of \$500 will have that rule apply for the current project period. This includes:

- Projects already in progress
- Projects awarded but not started
- Proposals submitted
- Non-competing continuation proposals
- Supplemental requests related to these projects



Significant Changes to the Policy on Charging Program Income Earned on Sponsored Projects

Changes to the policy include:

- Clarifying the difference between reportable and nonreportable program income;
- Specifying that a plan must be developed to handle program income earned on awards with nonfederal sponsors;
- Specifying that a separate account for reportable program income may be established under certain circumstances;
- Specifying that nonreportable program income will be deposited in a separate account with new Revenue Source Code 4950;
- Specifying that nonreportable program income earned during the project period must be used to further the objectives of the project;
- Specifying that grant administrators must monitor the level of program income in sponsored accounts;
- Specifying that a significant level of program income is considered the agency limit or 25% of the total award, whichever comes first;
- Developing a flowchart of the program income process.

The policy may be viewed at http://www.fpd.finop.umn.edu/groups/ppd/documents/policy/Program_Income.cfm.



Electronic Grants Management

New Sign-On Process with Enterprise Systems Password

As the University relies more and more on electronic systems for normal business activities, the need to make access to those systems more secure becomes increasingly important. To enhance security of our new electronic systems, we are moving beyond the current X.500 password to a new Enterprise Systems password.

The Enterprise Systems password provides a higher level of security than the X.500 password (now called the Internet password). It will also allow for a single point of entry to the systems using the X.500 directory for user authentication. Not all electronic systems need the higher level of security. For example, the Electronic Grants

Management System (EGMS) will not require use of the Enterprise Systems password; however, it will accommodate it. Financial FormsNirvana (FFN) *will* require the use of the Enterprise Systems password because it interfaces to the University's financial system and poses a higher level of risk to the institution.

A mid-September rollout is planned for the Enterprise Systems password in FFN. The log-on screens for EGMS and FFN will have a new look as these changes are put in place. With this change, FFN will require that the Enterprise Systems password be entered with the X.500 Username. There will

be a phase-in period where either password can be used to allow users time to establish and begin using their new Enterprise Systems password. If a user enters the Enterprise Systems password during the long-in process, the user will have access to both levels of systems. Users that do not need the higher security level may continue to access EGMS and other systems like Financial Reports on the Web with their current X.500 Username and password.

In early September, FSS and SPA staff will send more information regarding this new password and how to log on to the system to those customers needing this information.



SPA Using New Database to Manage Proposals

Implementation of the new Sponsored Projects Management Model is steadily moving forward. An important aspect of that is a new improved system in SPA to assist in the management of proposals and awards. This internal system includes a database of demographic information about proposal submissions, plus proposal budgets, special reviews, etc. It will eventually facilitate the set-up of accounts, once an award has been made by the sponsoring agency.

A major part of this new database is the data that is on the Proposal Routing Form (PRF). Therefore it is important for all PRF (BA23 forms) to be done in the web-based form in EGMS. The information you provide on that form is the basic data that sets up your record in the SPA internal system. Even if you are not able to route the forms electronically at this time because your college and/or department has not been set up, it is still important that you discontinue using any other old BA23 forms. *Effective November 1, 1999, the web based form must be used. It*

may be found at <http://nirvana.ortta.umn.edu> under Sponsored Project Management forms. Currently there is an option on that web site to print a copy of the proposal routing form and put it in the typewriter. This option will be eliminated also as of November 1. Just to clarify, for submissions for the November 1 deadline, you can still use old forms. After that date, however, the PRF form at <http://nirvana.ortta.umn.edu> must be used.

We are not anticipating that this will be a major change in processing for faculty and administrators. As of the end of June, 50 percent of all proposals submitted to SPA were already done using the PRF form on the web.

To facilitate this change, a training class on proposal preparation in EGMS, including instructions on how to fill the PRF forms, conducted by Training Services Division will be available beginning in October (see schedule on page 12). Also open labs are held every Wednesday from 9-11 in Childrens Rehab 664 and every other Friday in 170 Anderson Hall.

Our New Look!

The *Research Review* has a new look! After reviewing surveys our readers returned, we made some changes. The *Research Review* is organizing its information into three sections. These sections are:

- Administration and Conduct of Sponsored Work includes grants management, SPA policies and procedures, and university regulations, and sponsor policy changes.
- News and Feature Stories includes articles about research projects, relevant court cases, and other feature articles.
- Funding Opportunities features brief reviews of funding opportunities with a more detailed review available only on the web.

Look for the *Research Review* at <http://www.ospa.umn.edu/resrev.htm>.



Clinical Device Trials A Seminar for Principal Investigators

The Academic Health Center is hosting a seminar for principal investigators involved in device research. Speakers will include representatives from the FDA and Medical Device Industry, as well as representatives from the University of Minnesota.

Topic Highlights:

- National FDA representative will present an update on reengineering efforts, as well as audit preparation tips
- So you think you have an invention: what to do and who to call
- What a sponsor looks for when selecting an investigator

Thursday, September 23, 1999

8:00 a.m. – 2:30 p.m.

Please contact Meg Becker at
612.626.1462 for more information.

Electronic Grants Management System Training and Open Labs

Open Labs

664 Children's Rehab

9 – 11:30 a.m. on Wednesdays

September: 1, 8, 15, 22, 29

October: 6, 13, 20, 27

170 Anderson Hall

8:30 – 11:30 .m.

September: Friday, 3; Friday, 17; Thursday, 30

Division Administration Class

September: 8, 24

Call Training Services at 612.626-1373 to register.

Proposal Preparation Course

Training schedule for the proposal preparation course: these are 7-hour sessions scheduled for 8:30 - 3:30 on the Duluth and Twin Cities campuses.

Twin Cities: October 5, 12, 14, 18; November 3, 11, 24, December 1, 9, 28.

Duluth: October 20, 21; November 16, 17.

These dates are also posted on <http://www.ospa.umn.edu/prftraining.htm>

More Information

To generate copies of NIH and NSF application forms, please go to EGMS at <http://nirvana.ortta.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>, or to NSF at <http://www.nsf.gov/pubsys/index.htm> (For help, call the EGMS Help Line at 612.624.1600.)

For funding searches

Please contact the Office of the Vice President for Research
612.625.7585; facgrant@gold.tc.umn.edu
<http://www.research.umn.edu/research.html>

For a more complete review of these funding sources go to the *Research Review* web site at <http://www.ospa.umn.edu/resrev.htm>, or go directly to the agency web site listed.

National Association of Animal Breeders

Fostering research and development in animal breeding and reproductive physiology with special emphasis on artificial insemination. Grants range from \$1,000 to \$15,000 per year.

Pre-proposals due **October 1, 1999**. Go to http://www.naab-css.org/membership/research_grant.html.

American Foundation for AIDS Research

Targeting support for basic research in biomedical methods to prevent the sexual transmission of HIV, excluding clinical trials. Awards of up to \$75,000 will be made.

Letters of intent are due **September 15, 1999**. Call 212.806.1696, fax 212.806.1601, or e-mail grants@amfar.org to obtain letter of intent application forms, or download from <http://www.amfar.org>.

National Science Foundation

* Innovation in Education

Funding innovative experiments in education, particularly those useful in materials-related education. Thrust is for test of concept (inquiry-based learning, peer instruction, integration of research and education, early exposure to the workplace). Award sizes may range from about \$50,000 to \$1 million.

The annual proposal deadline (target date) is **December 1**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf99143>.

* International Programs Deadlines

Deadline dates for proposal submission for FY 2001. The dates supersede those listed previously in other publications.

Go to <http://www.nsf.gov/cgi-bin/getpub?nsf99146>.

* Analysis of Science and Technology Resources

Funding research, workshops, and studies leading to development of new approaches to the analysis and presentation of data, with a particular focus on effective methods of presenting complex information.

Six to eight awards averaging \$50,000 will be awarded.

The annual submission deadline is **November 1**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf99140>.

* Postdoctoral Research Fellowships in Microbial Biology

Fellowships to support training and research on the basic biology of protozoan, microalgal, fungal, archaeal, bacterial, and viral species.

Twenty awards will be made in award amounts of \$50,000 per year for two to three years.

The deadline is **October 25, 1999**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf99142>.

* Graduate Research Fellowships

Fellowships are awarded for graduate study leading to research-based master's or doctoral degrees in the fields of science, mathematics, and engineering supported by NSF. Eligibility is limited to those who, by the beginning of the fall 1999 term, have completed no more than 20 semester hours or 30 quarter hours of graduate study. The stipend is \$15,000 for each 12-month period for up to three years.

The application deadline is **November 4, 1999**. Go to <http://www.orau.org/nsf.nsf/fel.htm>, or to <http://www.ehr.nsf.gov/ehr/dge/grf.htm>.

Department of State: U.S. Egypt Science and Technology

* Collaborative Projects in Science and Technology

A program of competitive grants to support international, collaborative projects in science and technology between U.S. and Egyptian cooperators.

The application deadline is **October 31, 1999**. For further information contact Vickie Alexander, Program Administrator, US-Egypt Science and Technology Grants Program, US Embassy, Cairo/ECPO, Unit 64900, Box 6, APO AE 09839-4900. Telephone 011-(20-2) 357.2925; fax 011-(20-2) 354.8091; alexanderva@state.gov.

Department of Commerce

National Oceanic and Atmospheric Administration

* Use of Satellite Data for Studying Local and Regional Phenomena

To expand the use of satellite data within the academic community for the study of scientific phenomena in local and regional areas. Most projects will be funded for \$0 plus free data, to \$22,000 for equipment and personnel, plus free data.

The application deadline is **November 15, 1999**. Contact Dr. James Purdom, 301.763.8127, jpurdom@nesdis.noaa.gov. The application package may be found at <http://www.rdc.noaa.gov/~grants/index.html>.

Department of Education

* Fulbright-Hays

- Research Abroad Fellowship Program CFDA 84.019A
- Group Projects Abroad Program CFDA 84.021A
- Doctoral Dissertation Research Abroad Fellowship Program CFDA 84.022A

Offering opportunities for study abroad in modern foreign languages and areas studies.

The application deadline for all three programs is **October 25, 1999**. Go to <http://www.ed.gov/news.html>.

Centers for Disease Control

* Education Programs in Occupational Safety and Health

Funds are available for training grants in occupational safety and health. Three awards will be made averaging \$165,000 for each 12-month period with a project period of up to five years.

An optional, non-binding letter of intent is requested on or before **September 24, 1999**.

The application deadline is **November 30, 1999**. To receive additional written information and to request an application kit, call 1.888.472.6874 or go to <http://www.cdc.gov>.

* Laboratory Markers of Recent HIV Infection

A cooperative agreement for Research on Laboratory Markers that can be used to measure HIV infection incidence from cross-sectional samples and identify recently infected persons. Approximately \$500,000 is available for two awards, averaging about \$250,000 for each 1-year period with a project period of up to two years.

The application deadline is **October 4, 1999**. To receive additional written information and to request an application kit, call 1.888.472.6874 or go to <http://www.cdc.gov>. Refer to program announcement 000007.

* Distance-Based Graduate-Level Degree Programs

For a cooperative agreement program to support and evaluate distance-based graduate-level degree programs in public health in developing countries. \$20,000 is available for one award.

The application deadline is **October 15, 1999**. To receive additional written information and to request an application kit, call 1.888.472.6874 or go to <http://www.cdc.gov>. Refer to program announcement 00014.

Leukemia Society of America

A research program encouraging scientifically sound approaches toward a cure or control of leukemia, lymphoma, Hodgkin's disease, and myeloma. Both basic laboratory research and its application to a clinical setting are supported.

Career Development Programs: preliminary application due **September 15, 1999**; full proposals due **October 1, 1999**.

Translational Research Program: preliminary application due **February 15, 2000**; full proposals due **March 15, 2000**.

Specialized Center of Research: preliminary application due **November 15, 1999**; full proposals will be invited and are due **March 15, 2000**.

Application forms and instructions for all programs are available from <http://www.leukemia.org>.

American Cancer Society

* Institutional Research Grant

To provide "seed" money to permit the initiation of promising new projects or novel ideas by junior faculty investigators. The award amount is up to \$20,000 in direct costs.

The application deadline is **October 1, 1999**. Instructions and application forms are available from the Pediatric BMT Office, Room 460, Cancer Center Research Building, 612.626.1926, micek003@tc.umn.edu.



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Assistant Vice President, and Interim Director, SPA	Winifred A. Schumi ..	624.5750 wschumi@ospa.umn.edu
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Sr. grant and contract administrator	Jim Loukes	218.726.7583 jloukes@ub.d.umn.edu
Morris, Grants Development , http://www.mrs.umn.edu/services/grants		
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Research Subjects' Protection Programs , fax 612.626.6061		
Director	Moir Keane	626.5654 irb@umn.edu/iacuc@umn.edu

Instructions on Changing Addresses

SPA cannot change the faculty mailing list.

It is generated by Human Resources and changed in your department.

For faculty changes, please call your **departmental** payroll or Human Resources coordinator.
(Faculty labels are those with a string of seven numbers printed above the addressee's name.)

For changes regarding *other* labels, please complete the following:

Change Name: _____

Add Department: _____

Delete Building & Room No.: _____

Mail Delivery Code (if on campus): _____

City, State, Zip (if off campus): _____



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Research

Sponsored Projects Administration
Patents and Technology Marketing
Oversight Analysis and Reporting

Review

10/22/99
8/1/99

October 1999

Volume XXIX, Number 4
<http://www.ospa.umn.edu/resrev.htm>

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Awards, Publications, and Honors

For a complete listing of citations,
and for all awards
for the month of August,
please go to
[http://www.ospa.umn.edu/
awards.htm](http://www.ospa.umn.edu/awards.htm), or
[http://www.ospa.umn.edu/
publications.htm](http://www.ospa.umn.edu/publications.htm)

Attention!

We are relocating!

Effective Monday November 8, 1999

Sponsored Projects Administration (SPA, formerly ORTTA)
Sponsored Financial Reporting (SFR)
Patents and Technology Marketing (PTM)

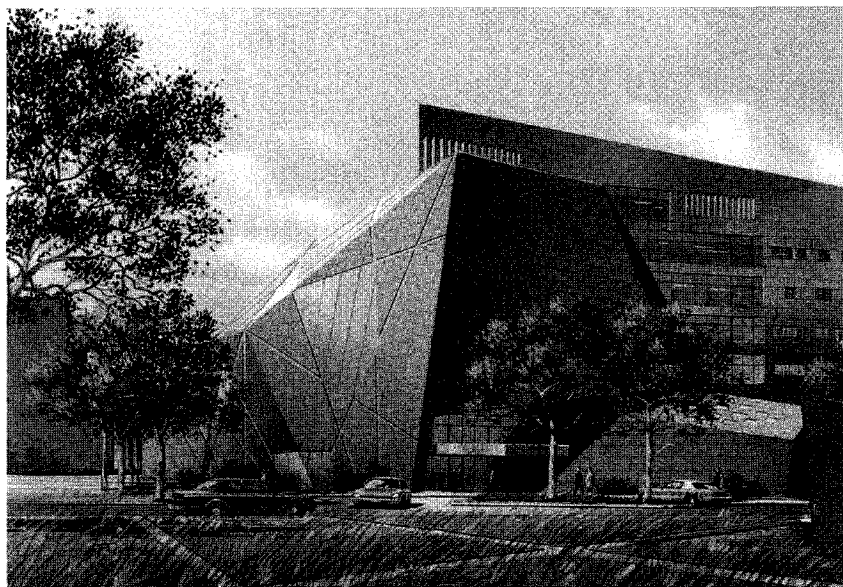
will be moving to:

**Gateway Building, Suite 450
200 Oak Street SE
Minneapolis, MN 55455-2070**

Offices will be operational in our
Washington Avenue location through
Thursday, November 4, 1999.

We expect to have a skeleton staff available at
the Washington Avenue location for **emergency assistance only**
through Friday, November 5.

All telephone and fax numbers will remain the same.



Artist Rendering by Myon Architectural Paradigms

RESEARCH REVIEW

Volume XXIX, Number 4

October 1999

Editor: Bruce Erickson

Editorial Assistant: Tove Jespersen

Associate Vice President: Ed Wink

Research Review is a monthly publication of the office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 1100 Washington Avenue South, Suite 201, Minneapolis, MN 55415-1226, or call Bruce Erickson, 612.625.2354, erick210@ospa.umn.edu, or Tove Jespersen 612.624.0061, tove@ospa.umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of each month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, or erick210@ospa.umn.edu.

Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New *provisional* rates effective Fall, 1999

TA, RA, AF: standard of gross salary	\$5.13/hr	+	7.6%
TA, RA, AF: advanced master's or Ph.D.	\$.93/hr	+	7.6%
Summer quarter TA, RA, AF	—		7.6%
Summer session TA, with tuition	\$9.68/hr	+	7.6%
Summer session TA, without tuition	—		7.6%
Professional program assistant	—		7.6%
Dental fellow *	\$3.35/hr		—
Medical fellow *	\$2.57/hr		—

To the rates listed above, add 7.7% to the 7.6% when a graduate student is enrolled for fewer than 3 credits, or less than 1 credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. **This is a change from previous years.**

Other Job Classes

	Civil Service	Academic	Post-doc class #9546
7/1/98 - 6/30/99	25.6%	27.1%	13.9%
7/1/99 - 6/30/00	24.4%	27.6%	14.2%
7/1/00 - 6/30/01	27.9%	27.4%	14.3%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009.

Complete details of fringe benefit rates for all classes of UM employees are available at www.fpd.fino.umn.edu/groups/ppd/documents/rates/fringe1999_2000.cfm.

Rate changes will be reflected in this section.

Indirect Cost Rates

The rates listed at right come from the University's most recent indirect cost agreement, dated *March 1, 1999*. This date should be used where required on applications. For periods beyond June 30, 1999, the rates listed to the right are *provisional* until amended.

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration, 612.624.5599. If you have questions on indirect cost rate development, please call Steve Bradley, 612.626.9895.

Provisional Rates for Periods after 6/30/99, until amended**Research**

On-campus	47.00%
Off-campus *	26.00%
SAFL on-campus	54.00%
SAFL off-campus *	26.00%
Hormel on-campus	50.00%
Hormel off-campus *	26.00%

Other Sponsored Activity

On-campus	35.00%
Off-campus *	26.00%

Instruction

On-campus	52.00%
Off-campus *	26.00%

Sponsored Projects Administration

Reminder: Use Electronic Proposal Routing Form

Implementation of the new Sponsored Projects Management Model is steadily moving forward. An important aspect of that is a new improved system in Sponsored Projects Administration (SPA) to assist in the management of proposals and awards. This internal system includes a database of demographic information about proposal submissions, plus proposal budgets, special reviews, etc. It will eventually facilitate the set-up of accounts, once an award has been made by the sponsoring agency.

A major part of this new database is the data that is on the Proposal Routing Form (PRF). Therefore, it is important for all PRFs (BA23 forms) to be done in the web based form in the Electronic Grants Management System (EGMS).

The information you provide on that form is the basic data that sets up your record in the SPA internal system.

Effective November 1, 1999, the web based form must be used. It can be found at <http://nirvana.ospa.umn.edu> under Sponsored Project Management Forms.

Currently there is an option on that web site to print a copy of the proposal routing form and put it in the typewriter. This option *will be eliminated also as of November 1*. Just to clarify: for submissions for the November 1 deadline, you can still use old forms. After that date, however, the PRF form at <http://nirvana.ospa.umn.edu> *must be used*. Even if you are not presently able

to route the forms electronically because your college and/or department has not been set-up, it is still important that you discontinue using old BA23 forms.

We are not anticipating that this will be a major change in processing for faculty and administrators since as of the end of June, 50 percent of all proposals submitted to SPA are already being done using the PRF on the web.

To facilitate this change, a training class on proposal preparation in EGMS, including instructions on how to complete the PRFs, conducted by Training Services Division will be available beginning in October. Also open labs are held every Wednesday from 9-11 in Childrens Rehab 664 and every other Friday in 170 Anderson Hall.

Sponsored Projects Administration

Question and Answer

Question: May I use the Electronic Grants Management System (EGMS) to complete a Proposal Routing Form (PRF) or proposal if our office is not set-up to use EGMS?

Answer: Yes. Your office does NOT need to be set-up for electronic routing for you to use EGMS.

The ultimate goal of the EGMS proposal preparation module is to complete a proposal and PRF and to route them electronically through the University for electronic signature.

As EGMS currently operates, users in departments that have not yet incorporated electronic routing into their routine have access to the system simply by signing into the website using their X.500 username and password. An individual's X.500 username and password are their main University e-mail username and password. The first time they do this, users will establish accounts in the EGMS database like pro-

posal preparation, sponsored project management forms, expertise database, and other support database.

If you are preparing a proposal within EGMS, you must complete the on-line proposal data and pass the full audit of the proposal. This will let you tell EGMS to start the PRF for you, avoid rekeying of data, and assure consistency between the proposal data and the PRF. This is the **ONLY** way to link and save your proposal data for use in award administration.

If you are not preparing a proposal in EGMS, you should still complete the PRF electronically. The PRF is available for completion within the sponsored projects management forms database. Once correctly completed, the user can print out a copy for ink signature if their department has not established electronic signature routing.

The data entered is the start of a data record that will follow the project throughout its life.

Please direct questions regarding the use of this system to the EGMS grants assistant number at 612.624.1033, the EGMS technical assistance help-line at 612.624.1600 or to your grant administrator.

Sponsored Projects Administration Citations

Please continue to send your citations to Tove Jespersen at tove@ospa.umn.edu. They will be printed on our web site at <http://www.ospa.umn.edu/publications.htm>.

Update:**Certified Approver Program**

Development of the Certified Approver Program continues. Personnel in the Focus Grants Management departments have passed Part I, which tests general knowledge of federal regulations and University policies pertaining to sponsored funding.

Volunteers from the University community are currently taking Part II to establish reliability measures. Part II presents common financial transactions that are to be rejected, approved, or returned, based upon the information provided in reference materials, such as the Notice of Grant Award, proposal budget, agency or foundation guidelines, as well as University policies. Test takers will be given copies of the reference materials needed to make decisions on the transactions, and will be able to choose from several grants or contracts to review.

Both parts of the test will be available in November. Administration of the test is handled by Testing Services, part of University Counseling and Consulting Services. Test results are treated confidentially. Only an official Pass and the date of the test will be recorded in an individual's formal personnel file.

However, an employee who has demonstrated knowledge of sponsored

funding policies and procedures is just one of the elements needed to participate in the Certified Approver program. Departments and Colleges that have an organizational need for a certified approver also must define and articulate a process to resolve disagreements that may arise. The conflict resolution process may vary from College to College, but must be submitted to the Office of the Vice President for Research and Dean of the Graduate School (OVPRDGS). When the Collegiate Dean notifies OVPRDGS that all elements are in place for a specific Department/College, Sponsored Projects Administration will discontinue document review for that Department/College and the Certified Approver will assume the authority.

Printed information on the Certified Approver program will be distributed to each College during October. Questions on the program can be directed to the Office of Oversight, Analysis, and

Reminder:**FedEx Delivery Requirement**

Sponsored Projects Administration (SPA) staff would like to remind principal investigators that they need to allow extra time for delivery when preparing proposals going outside the continental U.S.

For example, Federal Express requires a minimum of two days to deliver proposals to Alaska, Hawaii, and Europe. Recently, SPA staff received and reviewed a proposal and sent it out the same day to the U.S. Department of Commerce in Juneau, Alaska. Delivery of the proposal required two days and unfortunately the proposal did not make the deadline, was refused and returned to the SPA office.

It is important to remember that it will take more time to deliver proposals outside the U.S. If you have any questions regarding longer delivery times that may affect your proposal, please contact your grant administrator.

**What's New in Grants Management**

An index to changes and announcements

October 1999

(month 4 of UM fiscal 2000)

SPA Update 0007 – New policy on Reporting Violations of Policy or Law

Issued: 10/1/99
 Supercedes: na
 Effective: 7/1/99
 Change: New policy in effect.
 Action to Take: See related article in the October *Research Review*, page 5.

SPA Update 0008 – New policy on Uncollectible Costs Charged to Sponsored

Projects
 Issued: 10/1/99
 Supercedes: na
 Effective: 9/1/99
 Change: New policy in effect.
 Action to Take: See related articles in the June issue of the *Research Review* and on the October issue of the *Research Review*, page 5.



National Science Foundation

Application Guidelines and Materials

NSF 00-3, Proposal Forms Kit, is now available from the NSF Online Document System and may be found at <http://www.nsf.gov/cgi-bin/getpub?nsf003>. Paper copies of this document may be obtained by sending an e-mail to paperpubs@nsf.gov.

The National Science Foundation announced that NSF 00-2, Grant Proposal Guide, is also now available from the NSF Online Document System. It may be found at <http://www.nsf.gov/cgi-bin/getpub?nsf002>. Paper copies may be obtained by sending an e-mail to paperpubs@nsf.gov.

National Science Foundation

Edit PI Information Function

NSF has announced that the new Edit PI Information function is now available on the FastLane homepage. It is listed under the PI/Co-PI functions section and is labeled Edit PI Info.

This function allows PIs (individuals who are on the NSF PI database) to modify their personal information. Types of information include name, address (including organizational affiliation), phone numbers, e-mail address, and demographic information.

The tool was created to allow PIs to inform NSF of changes to this information, independent of the Proposal Preparation function. However, any changes made in Edit PI Information

are reflected within the Proposal Preparation function. For convenience, PIs may continue to use Proposal Preparation to change this information as well.

Please be aware that the PI's organizational affiliation does not necessarily have to be the same as the organization on a proposal or award that the PI may be associated with. Therefore, if a PI changes his/her organizational affiliation in Edit PI Information (either via the new stand-alone function or within Proposal Preparation), this will not automatically change the organization on a proposal or award. If the PI wants to change the organizational affiliation on an unsubmitted proposal, he/she must change this information on the cover sheet for that proposal.

New Policy

Uncollectible Costs Charged to Sponsored Projects

The Controller's Organization finalized its new policy and procedures on *Removing Uncollectible Costs Charged to Sponsored Projects (Policy 3.2.5)*. The policy was developed to improve oversight and accountability for uncollectible costs and to ensure that the responsible unit manages these uncollectibles. In addition, timely movement of uncollectible costs off of

sponsored accounts will lead to more accurate financial information and increased compliance.

The policy and procedure can be found on the University's policy library at <http://www.fpd.finop.umn.edu>. Further communication on the utilization of these accounts will be distributed from the Controller's Organization in the near future.

New Policy

Reporting Violations of Policy or Law

The Controller's Organization and the Department of Audits will finalize a new policy and related procedures for reporting violations of policy or law. The policy states that employees have a responsibility to report violations or suspected violations and insures that the reporting and investigation of improper activity will be handled confidentially. It also assures employees that the University will not penalize them for reporting violations. The procedures outline steps to report improper financial activities and to report noncompliance with law, regulation or University policy. They also describe how the violations or suspected violations will be investigated.

Development of a policy for reporting violations has long been a key part of the University's Grants Management Project. The Department of Audits and Human Resources have spent the last year writing the policy and working with other central units to create an infrastructure for handling any reports. For example, the Equal Opportunity and Affirmative Action office will investigate allegations of retaliatory treatment and the office of the Vice President for Research will report information regarding financial improprieties to federal agencies or other external funding sources. Audits has also established a new telephone number (612.626.0227) for employees who wish to remain anonymous to report the activity.



Research Subjects' Protection Programs

Institutional Review Board: Human Subjects Committee Emergency Use of a Test Article

The Institutional Review Board: Human Subjects Committee (IRB), in compliance with FDA and Office for Protection from Research Risks (OPRR) regulations, has a policy and procedure for the "Emergency Use of a Test Article."

In treating a patient, whether that patient is a subject in an Institutional Review Board (IRB) approved clinical trial or is being treated according to standard medical practice, a physician may be faced with the need to administer a drug, biologic or experimental device that has not yet been approved for marketing by the FDA.

For purposes of this discussion, "emergency use" is defined as the use of a test article, (e.g., investigational drug, biologic or experimental device) on a human patient in a life-threatening situation in which no standard acceptable treatment is available, and in which there is not sufficient time to obtain (full) IRB approval. An emergency use situation, therefore, is one in which the use of a test article was not foreseeable, there is no standard acceptable treatment available or useful, and one in which time is critical to the patient's survival.

Procedures to secure emergency waiver are:

1. Notify the IRB office (by telephone) of a pending request for emergency waiver;
2. Upon notification, the IRB administrative staff will refer the requesting physician to a chair of the IRB, or a physician designated by the chair, to secure oral approval to proceed;
3. Within five working days of the request, the Investigator must provide written documentation of the oral approval for IRB records, a copy of the blank consent form used to document informed consent

of the patient, and a report of experience, for the full IRB for confirmation.

4. Written documentation of IRB confirmation of "Emergency Waiver" is provided to the researcher and should be maintained with his/her records for audit purposes.

Many drug companies require IRB certification of waiver to release drugs or biologics. The paperwork and report filing required by a sponsor, drug company, or the FDA, are responsibilities assumed by the investigator requesting emergency approval.

Provisions for Emergency Medical Care After Hours:

When a patient is faced with a life-threatening situation and the physician must employ experimental medicines or devices to carry out the mandate to care for patients in the most beneficial manner, neither the IRB, nor the clock, nor the calendar should interfere with those duties.

The regulatory requirement for informing the IRB and securing appropriate requests for treating patients in life-threatening situations, requires prior notification when possible and post-facto notification when such prior oral approval is not feasible. In a case where an after-hours or weekend emergency

arises, and staff are not available at the IRB office, the physician should secure approval, or agreement, from another physician who is not involved in the treatment of this particular patient. It would not be necessary to track down the chair of the IRB, nor the IRB office under these circumstances. Following the concurrence of the physician colleague that the proposed action was most appropriate, that action should be documented to the IRB office within five working days. In these instances, it is a good idea to call the IRB office and leave a voice mail message describing the activity and action taken thus far. These measures would be in keeping with the letter and spirit of the regulations.

The IRB trusts that physicians will exercise their best clinical judgment, use experimental medications when necessary, and take the appropriate steps to request approval or inform the IRB following those treatments. Of course, during the regular work week prior approval should be obtained before taking any of these actions.

For questions concerning emergency use of test articles, or other issues relating to review and approval from the Institutional Review Board: Human Subjects Committee (IRB), please call the IRB office at 612.626.5654.

*Moirra Keane Director,
Research Subjects' Protection Programs
(IRB and IACUC)*

Institutional Animal Care and Use Committee (IACUC) Inspections

The IACUC is conducting its semiannual inspections of animal housing facilities and continuing with the ongoing inspection of laboratory areas. Researchers can expect a visit from IACUC members and veterinarians during the month of October. Direct written feedback is provided to researchers who need to make changes in practice or facilities based on inspection findings. The inspection program while focusing on compliance with federal rules and guidelines, is meant to be educational for the researcher and IACUC members. Questions about the inspection program can be directed to Assistant Director of RSPP, Marie Holm at 612.626.5654.

National Institutes of Health

NIH Issues Proposed Principles For Biomedical Research Resources

On May 25, 1999, the National Institutes of Health (NIH) issued a proposed policy entitled "Sharing Biomedical Research Resources: Principles and Guidelines for Recipients of NIH Research Grants and Contracts." The *Federal Register* announcement also solicited comments from interested parties (64 *Fed. Reg.* 28205-28209).

As defined in the announcement, the terms "research tools," "research materials" and "unique research resources" are: (1) interchangeable; (2) to be used in the broadest sense; and (3) to include any tool scientists use in the laboratory, such as cell lines, monoclonal antibodies, reagents, animal models, growth factors, combinatorial chemistry and DNA libraries, clones and cloning tools (such as PCR), methods, and laboratory equipment and machines. The announcement notes that databases and copyrightable materials may also fall under the "research tools" definition.

Restrictions placed on the dissemination and receipt of biomedical research

tools have long been problematic for researchers. The newly proposed NIH policy is a direct result of the agency's recognition of that problem and a resultant Advisory Committee's recommendations to the NIH Director. The Committee was charged with looking at the problems encountered in the dissemination and use of research tools, the sometimes-competing interests of the owners and users of these tools, and how NIH might respond to these issues.

The policy was issued in two parts. The first is a set of principles setting forth fundamental concepts; the second part contains guidelines providing specific information on implementation of the principles. As set forth in the *Federal Register* announcement, the purpose of the policy is to "assist NIH funding recipients in determining: (1) reasonable terms and conditions for making NIH-funded research resources available to scientists in other institutions in the public and private sectors (disseminating research tools); and (2) restric-

tions to accept as a condition of receiving access to research tools for use in NIH-funded research (importing research tools). In developing the new policy, NIH's stated intent is to assist in ensuring that each party to the distribution of research will "facilitate further biomedical research, consistent with the requirements of the Bayh-Dole Act and NIH funding agreements."

NIH accepted comments on the proposed policy until August 23, 1999. NIH will put another notice in the *Federal Register* summarizing and responding to the comments and issuing the final guidelines. NIH hopes to issue the final guidelines by the end of December 1999 and incorporate the guidelines into the NIH Grants Policy.

Information for this article came from *Federal Grants News for Colleges and Universities*.



Patents and Technology Marketing

New Health Technologies Director

The University of Minnesota recently named Michael Moore to head the Health Technologies division of its Patents and Technology Marketing (PTM) office. In this position, Moore will be responsible for technology transfer activity from the University's Academic Health Center.

Moore holds an undergraduate degree in biology from Northern Illinois University and a graduate degree from the Illinois Institute of Technology in biotechnology. Prior to joining the University as a senior licensing associate for PTM in 1995, Moore worked in technology assessment and marketing for

Amersham Life Science in Illinois beginning in 1982.

"I'm excited for the opportunity to lead Health Technologies and to sustain the momentum that's in place for licensing technologies in the health sciences," said Moore.

Moore takes over for Jim Severson who is leaving Minnesota to serve as president of the Cornell Research Foundation, which manages the intellectual property portfolio for Cornell University. Severson joined Minnesota nine years ago as an assistant director and was promoted to director of Health Technologies in 1995.

"I very much enjoyed my time here at the University of Minnesota and the opportunities I've had while I was here," said Severson. "I will miss the University and the people I've worked with over the years, and I wish everyone the best."

"The University of Minnesota greatly benefited from Jim's contributions over the last nine years," said Chris Maziar, dean of the Graduate School and vice president for Research. "This is a great opportunity for both Jim and Mike. I'm confident that Mike will continue the good work and progress we've made in health technology transfer," said Maziar.

Compliance for Federal Funding

Federal grantees and subgrantees face substantial risks with respect to their federal funding if their systems are not Y2K compliant. As recipients of federal funds, grantees and subgrantees must have financial management systems capable of providing a variety of information back to the grantor agency.¹ This information may include financial results of programs and projects, sources and applications of funds, and comparisons of outlays with stated budget amounts. Additionally, depending on the specific project and sponsoring agency, grantees and subgrantees may also be required to comply with federal scientific accuracy standards as well as other standards and conditions contained in specific grant award documents.

The Federal Government's Office of Management and Budget (OMB) has made it clear that grantees and subgrantees will not be relieved of these requirements merely because of Y2K problems that may exist in the grantees and subgrantees' systems. Indeed, Joseph Kull, director of the Office of Budget, Finance, and Award Management, in OMB letter advisory dated September 14, 1998, specifically warned grantees that the "inability to process information in accordance with Federal requirements could result in a requirement to return funds that have not been accounted for properly."

As a result of OMB's position, grantees and subgrantees must take steps to ensure that their systems are Y2K compliant and that Y2K issues do not interfere with their ability to meet federal reporting and accuracy requirements. To ensure such compliance (and to limit liability exposure in the event such compliance efforts are not successful) grantees and subgrantees should implement the Y2K compliance guide-

lines set forth in OMB's "Year 2000 Advisory to Federal Grantees," dated August 19, 1998.² These guidelines include: 1) identifying mission critical systems, 2) assessing Y2K compliance of such systems, 3) remediating any non-compliant systems, 4) validating the success of remediation, and 5) advising grantor agencies of contingency planning if remediation is not successful.

Of course if, despite a grantee or subgrantee's best efforts, its systems are still not Y2K compliant, there are steps that can be taken to limit liability. First, grantees and subgrantees should document all of their efforts to make their systems Y2K compliant. Second, grantees and subgrantees should notify grantor agencies within 72 hours of experiencing any Y2K problems. Finally, if a grantee or subgrantee received notice that it has been named in a Y2K action, it should immediately consult with appropriate legal counsel to determine the applicability of various federal and state defenses for entities that have taken good faith and reasonable steps toward Y2K compliance.

¹ OMB Circular A-110, "Uniform Administrative Requirements for Grants and Cooperative Agreements with Institutions of Higher Education, Hospitals, and Non-Profit Organizations" (revised November 19, 1993 and further amended August 29, 1997).

² These guidelines may be accessed at <http://www.whitehouse.gov/OMB/grants/y2k.html>. Similar guidelines may be found at <http://itpolicy.gsa.gov/mks/yr2000/best/yr1bpfed.htm>. See also, Richard D. Williams and Bruce T. Smyth, *Law of the Year 2000 Problem: Strategies, Claims, and Defenses* §2.01 (1999) (outlining the compliance steps as awareness, organization, assessment, remediation, and documentation).

Reminder: NIH Site Team Returning to the University

October 12 - 15, 1999

As referenced in last month's Research Review, the National Institutes of Health (NIH) site visit team is returning to the University of Minnesota on October 12th for three days to survey the progress of the Sponsored Programs Management Model.

The team plans to visit a variety of departments around the University and ask about the department's understanding in four key areas of the model, including:

- Roles and Responsibilities
- Policies and Procedures
- Staff Development (Education and Training)
- Systems Adequacy

Although NIH has not announced which departments they will visit, those departments receiving NIH funding may want to prepare for the possibility of hosting visitors during that time.

More Information

To generate copies of NIH and NSF application forms, please go to EGMS at <http://nirvana.ospa.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>, or to NSF at <http://www.nsf.gov/cgi-bin/getpub?nsf003> (For help, call the EGMS help Line at 612.624.1600.)

For funding searches

Please contact the Office of the Vice President for Research
612.625.7585; facgrant@gold.tc.umn.edu
<http://www.research.umn.edu/research.html>

To link directly to the web sites listed, go to the *Research Review* web site at <http://www.ospa.umn.edu/resrev.htm>.

Department of Energy

* Nuclear Engineering Education Research
DE-PS07-00ID13860

Awards supporting nuclear engineering research.

The deadline is **November 22, 1999**. Go to <http://www.id.doe.gov/doiid/PSD/proc-div.html> under current solicitation.

* Outstanding Junior Investigator Program in Nuclear Physics

To support the research of nuclear physicists early in their careers. Two to four awards will be made.

The deadline is **November 16, 1999**. Go to <http://www.er.doe.gov/production/grants/grants.html>.

* Plasma Physics Junior Faculty Development Program

Support for junior faculty involved in experimental or theoretical plasma physics research.

Funding levels will be up to \$150,000 per award for three years.

The deadline is **January 20, 2000**. Go to <http://www.er.doe.gov/production/grants/grants.html>.

United States Institute of Peace

Announcement of the FY2000 Solicited Grant Competition:

Solicitation A: Great Power Relations: U.S., China, Russia

Solicitation B: Intervention and Humanitarian Assistance

Solicitation C: Africa

Solicitation D: Training

The deadline is **December 30, 1999**. Go to <http://www.usip.org>.

American Mathematical Society

* Centennial Fellowships

Awards to outstanding mathematicians, directed towards recent Ph.D.s. The annual stipend is approximately \$438,000.

The deadline is **December 1, 1999**. Go to <http://www.ams.org/employment>.

U.S. Department of Agriculture

* National Research Initiative
Competitive Grants

Annual deadlines for grant awards in agricultural, forest, and related environmental sciences.

Deadlines are **November 15, and December 15, 1999; January 15, and February 15, 2000** depending on the program. Go to <http://www.ree.usda.gov/crgam/nri/programs/progdsc/contents.htm>.

Department of State

* Collaborative Projects between U.S. and Spain

Collaborative projects between the U.S. and Spain in Life Sciences, Environment, Information and Communication Technology, Materials Science, Energy and High Energy Physics, Space, and Other.

The deadline is **December 1, 1999**. Go to <http://www.fulbright.es/welcome.html>.

Department of Education

* Jacob K. Javits Fellowship
CFDA 84.170

Fellowships for students of superior ability in graduate study leading to a Ph.D. or MFA in selected fields of the arts, humanities, or social sciences.

An estimated 78 fellowships will be awarded ranging from \$11,000 to \$25,000.

The deadline is **November 29, 1999**. Go to the announcement in the *Federal Register* at <http://www.access.gpo.gov/nara/index.html>.

Department of Education, continued

Register at <http://www.access.gpo.gov/nara/index.html>.

* Undergraduate International Studies and Foreign Language Program
CFDA 84.016A

Awards to strengthen and improve undergraduate instruction in international studies and foreign languages.

An estimated 28 awards will be made ranging from \$40,000 to \$130,000.

The deadline is **November 1, 1999**. Go to the *Federal Register* announcement at http://www.access.gpo.gov/su_docs/fedreg/a990819c.html.

National Science Foundation

* Summer Programs in Japan, Korea, and Taiwan
NSF 99-152

To provide U.S. graduate students in science and engineering first-hand experience in Japanese, Korean, and Taiwan research environments. Programs are for eight weeks; stipends are \$2,500 plus travel; awards for up to 140 graduate students.

The deadline is **December 1, 1999**. Go to <http://www.nsf.gov/cgi-bin/getpub?99152>.

* Professional Opportunities for Women in Research and Education
NSF 99-164

To increase the prominence of women in science and engineering and to enhance their professional advancement by providing them with funding opportunities not ordinarily available. Award amounts are not to exceed \$75,000; approximately 150-175 awards will be made.

The deadline is **December 9, 1999**. Go to <http://www.nsf.gov/cgi-bin/getpub?99164>.

* Interdisciplinary Grants in the Mathematical Sciences
NSF 99-157

To enable mathematical scientists to undertake research and study in another discipline. Approximately \$1 million is available to fund approximately 10 awards.

The deadline is **December 10, 1999**. Go to <http://www.nsf.gov/cgi-bin/getpub?99157>.

NASA

* Life Science: Gravitational Biology

For research in gravitational biology and ecology, including ground-based investigations and limited space-flight experiments. Three-year awards are typically from \$150,000 to \$350,000.

The deadline is **December 1, 1999**. Go to <http://nais.nasa.gov/EPS/HQ/date.html#NRS-99-HEDS-02>.

Department of Defense/Army

* Surgical Breast Imaging

For innovative research related to diagnostic and surgical breast imaging. Funding of \$1.7 million is available for up to three awards for three years.

The deadline is **October 27, 1999**. Go to <http://cdmp.army.mil>. Refer to notice SBI-0826.

State of Wisconsin

* Wisconsin Family Care Program

In January, 1998, the Governor of Wisconsin proposed to redesign Wisconsin's long-term care system and to create a flexible new "Family Care" benefit to cover long-term care services for people who are elderly and adults with physical or developmental disabilities. The new system is intended to emphasize independence and quality of life while recognizing the need for interdependence and support. The legislation is awaiting a vote.

A Request for Proposals (RFP) has been released by the State of Wisconsin to support an evaluation of the new system. The primary objective of the evaluation is to determine if the Family Care Program is able to provide access to services and quality care while containing the cost of providing health and long-term care services to the target populations. Three primary evaluation products are required: an implementation process evaluation report, an impact evaluation report, and a cost-benefit study.

A total of \$400,000 is available. The initial award shall be for \$200,000 and based on satisfactory performance, two one-year renewals will be made. Any profit or non-profit organization, government agency, or educational institution may apply. Preference will be given to organizations that have experience and/or knowledge of large scale, statewide evaluations, managed care, and long-term services.

Proposals are due **November 19, 1999**. For a complete copy of the RFP please send an e-mail to paul.stuiber@legis.state.wi.us. Mr. Stuiber may also be contacted at 608.266.2818, fax 608.267.0410 for further information or questions.

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Research Subjects' Protection Programs , fax 612.626.6061		
Director	Moira Keane	626.5654 irb@umn.edu/iacuc@umn.edu

SPA cannot change the faculty mailing list.

It is generated by Human Resources and changed in your department.

For faculty changes, please call your departmental payroll or Human Resources coordinator. (Faculty labels are those with a string of seven numbers printed above the addressee's name.)

For changes regarding *other* labels, please complete the following:

Change Name: _____
Add Department: _____
Delete Building & Room No.: _____
Mail Delivery Code (if on campus): _____
City, State, Zip (if off campus): _____



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Research

Review

Sponsored Projects Administration
Patents and Technology Marketing
Oversight Analysis and Reporting

November 1999

Volume XXIX, Number 5
<http://www.ospa.umn.edu/resrev.htm>

Administration and Conduct of Sponsored Work

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Awards, Publications, and Honors

For a complete listing of citations, and for all awards for the months of August and September, please go to
<http://www.ospa.umn.edu/awards.htm>, or
<http://www.ospa.umn.edu/publications.htm>

University Hosts NIH to Talk About Sponsored Projects Management System and Exceptional Status

University of Minnesota administrators and faculty are hopeful after the visit from the National Institutes of Health (NIH) on October 12 - 15. NIH officials came here to evaluate the effectiveness of the University's new sponsored projects management system and gather information to help them decide what to do about the University's "exceptional" status.

NIH labeled the University "exceptional" in 1995 when they saw evidence of poor business management practices in its sponsored project program. As a result, NIH called for a complete revamping of the University's grants management program to include better oversight and enforcement functions and improved education in the proper conduct and administration of sponsored projects.

During the week, NIH visitors went to a series of presentations on the new system showing how investigators can now complete entire forms for proposals electroni-

EGMS Use Up Significantly in One Year of Use

	Totally Electronic Proposal	Manual Proposals with Electronic Routing Form	Totally Manual Proposals
September 1998	2.20%	18.60%	79.20%
September 1999	13.00%	44.40%	42.60%

cally, produce multiple proposals simultaneously, and create accurately calculated budgets. University staff talked about the new Office of Oversight Analysis and Reporting and how it will monitor a variety of electronic oversight reports to help identify unusual activity. NIH team members also had the opportunity to interview approximately 75 University faculty and staff about the system's ability to better manage and administer NIH grants.

RESEARCH REVIEW

Volume XXIX, Number 5

November 1999

Editor: Bruce Erickson

Editorial Assistant: Tove Jespersen

Associate Vice President: Ed Wink

Research Review is a monthly publication of the office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 450 Gateway Building, 200 Oak Street SE, Minneapolis, MN 55455-2070, or call Bruce Erickson, 612.625.2354, erick210@ospa.umn.edu, or Tove Jespersen 612.624.006, tove@ospa.umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of each month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, or erick210@ospa.umn.edu.

Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New *provisional* rates effective Fall, 1999

TA, RA, AF: standard of gross salary	\$5.13/hr	+	7.6%
TA, RA, AF: advanced master's or Ph.D.	\$.93/hr	+	7.6%
Summer quarter TA, RA, AF	—		7.6%
Summer session TA, with tuition	\$9.68/hr	+	7.6%
Summer session TA, without tuition	—		7.6%

Professional program assistant	—		7.6%
Dental fellow *	\$3.35/hr		—
Medical fellow *	\$2.57/hr		—

To the rates listed above, add 7.7% to the 7.6% when a graduate student is enrolled for fewer than 3 credits, or less than 1 credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. **This is a change from previous years.**

Other Job Classes

	Civil Service	Academic	Post-doc class #9546
7/1/98 - 6/30/99	25.6%	27.1%	13.9%
7/1/99 - 6/30/00	24.4%	27.6%	14.2%
7/1/00 - 6/30/01	27.9%	27.4%	14.3%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009.

Complete details of fringe benefit rates for all classes of UM employees are available at www.fpd.finop.umn.edu/groups/ppd/documents/rates/fringe1999_2000.cfm.

Rate changes will be reflected in this section.

Facilities & Administrative (F&A) (Indirect Cost) Rates

The rates listed at right come from the University's most recent F&A/indirect cost agreement, dated *March 1, 1999*. This date should be used where required on applications. **For periods beyond June 30, 1999, the rates listed to the right are provisional until amended.**

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration, 612.624.5599. If you have questions on F&A/indirect cost rate development, please call Steve Bradley, 612.626.9895.

A project is considered off-campus if more than 50% of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University.

Research

On-campus	47.00% MTDC
Off-campus	26.00% MTDC
SAFL on-campus	54.00% MTDC
SAFL off-campus	26.00% MTDC
Hormel on-campus	50.00% MTDC
Hormel off-campus	26.00% MTDC

Other Sponsored Activity

On-campus	35.00% MTDC
Off-campus	26.00% MTDC

Instruction

On-campus	52.00% MTDC
Off-campus	26.00% MTDC

MTDC (Modified Total Direct Cost):

Total direct cost minus: graduate student fringe benefits, patient care, equipment, space rental, and portion of each subgrant/subcontract in excess of the first \$25,000.

New Intellectual Property Policy

The Board of Regents has approved a new *Intellectual Property Policy*. The new policy applies to intellectual property disclosed to the University after June 2000. University administrators are currently writing procedures that will implement the policy. This new intellectual property policy supersedes the 1967 policy on *University-Sponsored Educational Materials* and the 1986 policy on *Patent and Technology Transfer*. It was designed to incorporate the vast changes that have taken place in the types of intellectual property being produced (e.g., web-based material and software programs) and to distinguish between intellectual property developed as part of a faculty member's role as an educator and other intellectual property developed while using University resources. Major items of interest to researchers include:

- Faculty will normally own rights to their regular academic work products, regardless of medium (book, CD ROM, or hypertext). These include books, class notes, musical works, and course materials designed for distance education. The policy outlines circumstances in which the University retains ownership, e.g., if the ownership is assigned in writing to the University.
- The University normally owns all other intellectual property created through the use of University resources or facilities. Creators share these rights in some circumstances, such as when terms of sponsored research agreements dictate ownership.
- When the University materially benefits from intellectual property it

owns, both the creator and the institution share the income. The portion of the income that used to go directly to the office of Patents and Technology Marketing will now flow to the office of the Vice President for Research. The vice president will use the funds to support the technology transfer unit as well as additional research and scholarly activity.

The new policy can be found at: <http://www1.umn.edu/regents/policies/academic/IntellectualProperty.pdf>.

☞ — ☞

U.S. Department of Agriculture National Research Initiative Competitive Grants for FY2000 Revised Facilities and Administrative Cost Rate Limitations

Effective October 1, 1999, proposals submitted under the USDA/CSREES National Research Initiative (NRI) Competitive Grants should note that facilities and administrative cost rates (F&A) (indirect costs) may not exceed 19 percent of total federal funds requested. This limitation is equivalent to 23.456 percent to the total *direct* costs.

The University's financial system (including the Electronic Grants Management System (EGMS)), cannot accept three decimal places, therefore, use 23.45 when calculating your F&A on the proposal and the proposal routing form (PRF).

There are other important changes in NRI Policies and Procedures, so please carefully read the grant proposal guidelines located at <http://www.reeusda.gov/nri/> or contact your Sponsored Projects Administration (SPA) grant administrator.

U.S. Department of Agriculture

× National Research Initiative Competitive Grants

Annual deadlines for grant awards in agricultural, forest, and related environmental sciences.

Deadlines are **November 15**, and **December 15, 1999**; **January 15**, and **February 15, 2000**. Go to <http://www.reeusda.gov/crgam/nri/programs/progdesc/contents.htm>.

NIH Visit

(continued from page 1)

"Removing the NIH penalty would restore local power, cut NIH paperwork and show the research community that Minnesota's programs are in order," said Christine Maziar, university vice president for research and dean of the graduate school.

"The NIH team congratulated us on the continuing effort and commitment the University has put forth in developing and implementing the Sponsored Programs Management Plan", said Dr. Frank Cerra, senior vice president for health sciences.

The University expects to hear from NIH by January on the findings of their visit and the "exceptional" standing. If NIH removes the exceptional label, University officials expect that it will be with the stipulation that if at any time the system breaks down, NIH would have the authority to place the University back on exceptional status until the problems are resolved.

☞ — ☞

EGMS Reminders:

Password Update

Recently University of Minnesota staff implemented an enhancement to Financial Forms Nirvana (FFN) and Electronic Grants Management System (EGMS). The enhancement provides improved security functionality and a single access validation point for a variety of web-based applications.

As of October 20, 1999, users can access both FFN and EGMS through the new Central Authentication Hub (CAH). To use CAH, FFN users must have an individual X.500 Internet account and must establish an Enterprise Systems password. EGMS users must have an individual X.500 Internet account and may establish the Enterprise Systems password.

Until December 1, 1999, users can login and logout of FFN and EGMS as they do now or choose the new CAH access method. After December 1, only the CAH access method will be available. Users that need to access FFN and other more secure systems will need the Enterprise Systems password, those accessing EGMS and other less secure systems can continue to use the X.500 password.

For more information, please go to <http://www.fss.umn.edu/fn/accessjobaid>.

Electronic Forms Update

Two more forms will be available in the very near future on the Electronic Grants Management Systems (EGMS) website under the Office of Sponsored Projects Administration (OSPA) Forms section. After the forms become available on the web, staff will need to complete them online. The two forms are:

- The Request for Consultant or Outside Service Agreement form (old form #14) and,
- The Annual Report of External Professional Activities form (old form #15)

More information on these forms will be provided as it becomes available.

Reminder:

Effective November 1, 1999 all Proposal Routing Forms (PRF) must be done on the web-based form in the Electronic Grants Management System (EGMS). It can be found at <http://nirvana.ospa.umn.edu> under Office of Sponsored Projects Administration

Forms. Previously there was an option on that web site to print a copy of the PRF and complete it in the typewriter. *This option was eliminated November 1, 1999.* Even if you are not presently able to route the forms electronically because your college or department has not been set-up, it is important that you complete this form on-line.

Please direct questions regarding the use of this system to the EGMS grants assistant number at 612.624.1033, the EGMS technical assistance help-line at 612.624.1600 or to your grant administrator.

Citations

Please continue to send your citations to Tove Jespersen at tove@ospa.umn.edu. They will be printed on our web site at <http://www.ospa.umn.edu/publications.htm>.

What's New in Grants Management

An index to changes and announcements

November 1999

(month 5 of UM fiscal 2000)

<u>SPA Update 0008 –</u>	<u>New Intellectual Property Policy</u>
Issued:	10/8/99
Supersedes:	Educational Materials Policy dated 4/14/67; and Patents and Technology Transfer Policy dated 10/10/86
Effective:	6/30/00
Change:	New Policy

Relocation

By the time you receive this issue of the *Research Review*, Sponsored Projects Administration (SPA), Patents and Technology Marketing (PTM), and Sponsored Financial Reporting (SFR) will have moved into the Gateway Building.

We remind you that our new address is:

450 Gateway Building
200 Oak Street SE
Minneapolis, MN 55455-2070

Although there is considerable settling in to be done, we are open for business. All telephone and fax numbers have remained the same.



Electronic Grants Management Systems (EGMS) Training Schedule

EGMS

Division Administrator

November 1	Monday	1:00 - 4:00p.m.
November 22	Monday	1:00 - 4:00 p.m.
December 3	Friday	8:30 -11:30 a.m.
December 15	Wednesday	8:30 -11:30 a.m.

EGMS

Proposal Preparation

November 3	Wednesday	8:30 a.m. - 3:30 p.m.
November 9	Tuesday	8:30 a.m. - 3:30 p.m.
November 24	Wednesday	8:30 a.m. - 3:30 p.m.
December 1	Wednesday	8:30 a.m. - 3:30 p.m.
December 9	Thursday	8:30 a.m. - 3:30 p.m.
December 28	Tuesday	8:30 a.m. - 3:30 p.m.

Open Labs

For users of Financial FormsNirvana, CUFS, HRMS, and other financial policies and procedures. Trainers will be on hand to answer your questions. Bring your system ID and password.

Open Labs are in Room 170 Anderson Hall

November 10	Wednesday	1:00 - 4:00 p.m.
November 19	Friday	8:30 -11:30 a.m.
December 3	Friday	8:30 -11:30 a.m.
December 17	Friday	8:30 -11:30 a.m.

Patents Issued

July 1999 – September 1999

1. **Title:** TXU-5/B53-PAP Antiviral Biotherapeutic Agent for the Treatment of AIDS
Purpose: Immunoconjugates are provided which are effective for the treatment of mammalian HIV infection.
Inventor: Fatih M. Uckun, Therapeutic Radiology Radiation Oncology
2. **Title:** Method and Culture for Inhibiting Undesired Microorganisms with Culture of *Bacillus Subtilis*
Purpose: An atypical *Bacillus subtilis* strain used in controlling molds and other spoilage flora in various materials, particularly foods.
Inventors: Larry L. McKay, Daniel J. O'Sullivan, Purbita Ray, Carla G. Sanchez-Fernandez, Food Science and Nutrition; Ebenezer R. Vedamuthu, Barbara J. Holler, Elly Vlegels, Jeffrey K. Kondo, Declan MacFadden, non-U
3. **Title:** Ex Vivo Culture of Stem Cells
Purpose: A method for the culture of hematopoietic cells.
Inventors: Catherine M. Verfaillie, Philip B. McGlave, Jeffrey S. Miller, Medicine
4. **Title:** Optically-Active Isomers of Dideoxycarbocyclic Nucleosides
Purpose: A therapeutic method employing an antiviral compound.
Inventors: Robert Vince, Mei Hua, Medicinal Chemistry
5. **Title:** Method of Diagnosing Human Granulocytic Ehrlichiosis
Purpose: Methods for the in vitro cultivation, propagation, and production of antigens in tick cell culture and in human promyelocytic leukemia cell culture.
Inventors: Jesse L. Goodman, Medicine; Ulrike G. Munderloh, Timothy J. Kurtti, Entomology; Stephen J. Dumler, John E. Madigan, non-U
6. **Title:** Decahydroquinoline-Based Anti-Cholinergic Agents
Purpose: Compounds useful for modulating cholinergic function in mammals.
Inventors: Simon M.N. Efange, Radiology; Stanley M. Parsons, non-U
7. **Title:** Magnetically Oriented Tissue-Equivalent and Biopolymer Tubes Comprising Collagen
Purpose: Tissue-equivalent and biopolymer tubes include fibrils which are oriented by a magnetic field, and which provide enhanced mechanical properties to the tissue-equivalent and biopolymer tubes.
Inventors: Robert T. Tranquillo, Timothy S. Girton, Stefano Guido, Chemical Engineering and Materials Science; Daniel L. Mooradian, Laboratory Medicine and Pathology
8. **Title:** Miscible Polyolefin Blends
Purpose: This relates to melt-miscible polyolefin blends, and a process for preparing the melt-miscible blends, of two or more polyolefins.
Inventors: Frank S. Bates, Jeffrey H. Rosedale, Mark F. Schulz, Kristoffer Almdal, Chemical Engineering and Materials Science
9. **Title:** Method for Synthesizing a Water Soluble Beta-Sheet Forming Peptide
Purpose: This relates to the chemical design and production of peptides.
Inventor: Kevin Mayo, Biochemistry, Molecular Biology and Biophysics
10. **Title:** Heat Shock Protein Peptides and Methods for Modulating Autoimmune Central Nervous System Disease
Purpose: Providing for peptides and methods of using peptides to block or inhibit a pathogenic autoimmune response to central nervous system components.
Inventors: Gary Birnbaum, Linda A. Kotilinek, Neurology; Peter E. Braun, non-U

Patents Issued Prior to 3rd Quarter, but not Previously Reported

11. **Title:** **Implantable Defibrillator Lead**
Purpose: This invention includes an implantable epicardial defibrillator lead and a method for implanting this lead on a diaphragmatic surface of the pericardium in a patient.
Inventor: J. Ernesto Molina, Surgery
12. **Title:** **Fast MRI for Assessment of Myocardial Perfusion with Arrhythmia Insensitive Magnetization Preparation**
Purpose: Contrast preparation generating weighted images for assessment of the myocardial perfusion.
Inventor: Kamil Ugurbil, Nikolaos V. Tsekos, Michael G. Garwood, Radiology
13. **Title:** **EGF-Genistein Conjugates for the Treatment of Cancer**
Purpose: A conjugate formed of epidermal growth factor and a method for killing cancer cells, in vivo and in vitro, by administering a cytotoxic dose of an epidermal growth factor tyrosine kinase inhibitor conjugate.
Inventor: Fatih M. Uckun, Therapeutic Radiology
14. **Title:** **Glutenin Genes and Their Uses**
Purpose: Methods of improving flour by altering glutenin contents in seeds of wheat and non-wheat plants.
Inventors: David A. Somers, Kimberly A. Torbert, Howard W. Rines, Agronomy and Plant Genetics; Ann E. Blechl, Olin D. Anderon, non-U
15. **Title:** **Support Material for Solid Phase Organic Synthesis**
Purpose: A support material is provided having an amine-containing organic group attached to it through a linker.
Inventors: Knud J. Jensen, George Barany, Michael F. Songster, Fernando Albericio, Jáosef Vgner, Chemistry; Jordi Alsina, non-U

Technology Transfer Agreements

July 1999 – September 1999

1. **Title:** **Implantable Defibrillator Lead**
Purpose: This invention includes an implantable epicardial defibrillator lead and a method for implanting this lead on a diaphragmatic surface of the pericardium in a patient.
Inventor: J. Ernesto Molina, Surgery
Licensee: Medtronic, Inc. Research Agreement
2. **Title:** **Nanoimprint Lithography**
Purpose: A lithographic method and apparatus for creating ultra-fine patterns in a thin film coated on a substrate.
Inventor: Stephen Y. Chou, Electrical and Computer Engineering
Licensee: Corning, Inc. Non-Exclusive Option Agreement
3. **Title:** **Compositions Based Upon Lignin Derivatives**
Purpose: Producing a product that has a measurable cohesive strength, and a plasticizer in an amount sufficient to cause plastic deformation in response to an applied tensile stress.
Inventors: Yan Li, Simo Sarkanen, Wood and Paper Science
Licensee: Waste Energy Integrated Systems, LLC Exclusive Option Agreement

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4. **Title: Nanoimprint Lithography**
Purpose: A lithographic method and apparatus for creating ultra-fine patterns in a thin film coated on a substrate.
- Title: Method and Apparatus for High Density Nanostructures**
Purpose: Using nanoimprint lithography, a topographical bit density Nano-CD with nearly three orders of magnitude higher than commercial CDs has been fabricated.
- Title: Release Surfaces, Particularly for use in Nanoimprint Lithography**
Purpose: The addition of thin coatings of persistent release materials, providing good release properties.
Inventor: Stephen Y. Chou, Electrical and Computer Engineering
Licensee: Nanonex Corporation Non-Exclusive License Agreement
5. **Title: Plastic Toughened Plastics**
Purpose: Metallocene catalyzed polyethylenes and isotactic polypropylenes useful in molded articles, most especially automotive interior trim parts.
Inventors: Frank S. Bates, Kimberly A. Chaffin, Chemical Engineering and Materials Science; Patrick Brant, non-U
Licensee: Exxon Chemical Company Research Agreement
6. **Title: Isolation and Activities of Lignin Depolymerases**
Purpose: Lignin depolymerases can be sold in articles of manufacture and used in a method for doing business.
Inventors: Nugzar N. Nutsbidze, Simo Sarkanen, Yongji Wang, Wood and Paper Science
Licensee: Waste Energy Integrated Systems, LLC Exclusive Option Agreement
7. **Title: Biodegradable Paintball and Method of Manufacturing**
Purpose: A replacement for a 'paintball' bullet; it is fully biodegradable, operates over a wide range of temperature, and has a shorter time-scale for manufacturing.
Inventors: Mrinal Bhattacharya, Ajay Gupta, Ramaswamy Mani, Biosystems and Agricultural Engineering
Licensee: Advanced Tactical Systems, Inc./Steinwall, Inc. Research Agreement
8. **Title: Frame Saw Manufacturing and Product Design Know-How**
Purpose: A method of frame saw manufacturing, for products such as Timberstrand veneer.
Inventors: Patrick K. Donahue, Suzanne M. French, Xianzhi Quan, Natural Resources Research Institute, UMDuluth
Licensee: Rosandich Wood Products Exclusive License Agreement
9. **Title: Nucleic Acid Transfer Vector for the Introduction of Nucleic Acid into the DNA of a Cell**
Purpose: A system for introducing nucleic acid into the DNA of a Cell, and methods for use.
Inventors: Perry B. Hackett, Jr., Zoltan Ivics, Zsuzsanna Izsvak, Genetics and Cell Biology
Licensee: AviGenics, Inc. Exclusive License Agreement
- 10-13. **Title: Apple Tree, Variety Minnewashta / ZESTAR!**
Purpose: An apple tree with vigorous early growth, little winter injury, annual fruit production, producing a fruit with long storage time, crisp and juicy texture, and pleasing exterior.
Inventors: David S. Bedford, James J. Luby, Horticultural Science
Licensee: Wafler Nursery, Inc. Plant Patent and Trademark Agreement
Shefelbine Orchards Plant Patent and Trademark Agreement
Columbia Basin Nursery LLC Plant Patent and Trademark Agreement
Green Tree Nursery Plant Patent and Trademark Agreement

- 14-15. Title: Betty Lou Maxi-Mums**
Purpose: A chrysanthemum with winter hardiness, unique coloration, and extraordinarily large blossoms.
Inventors: Neil O. Anderson, Peter D. Ascher, Horticultural Science
Licensee: Rolling Glen Gardens Plant Patent and Trademark Agreement
 Paula Liepold Plant Patent and Trademark Agreement
- 16. Title: Deposition of Thin Films by Plasma Jet Chemical Vapor Deposition with Pulsed Bias**
Purpose: A process for the formation of a film on a substrate.
Inventors: Joachim V.R. Heberlein, Oliver B. Postel, Mechanical Engineering
Licensee: Saint-Gobain Industrial Ceramics, Inc. / Norton Exclusive Option Agreement
- 17. Title: Charged Particle Neutralizing Apparatus and Method of Neutralizing Charged Particles**
Purpose: Providing a neutralizer housing between the inlet and outlet of the housing.
Inventors: Da-Ren Chen, David Y.H. Pui, Mechanical Engineering
Licensee: TSI, Inc. Exclusive License Agreement
- 18. Title: Granulation and Degranulation of Raw Amended Peat**
Purpose: Providing an instantly wettable and expandable form of granular peat which readily returns to a fluffy loose peat state after taking on water, and which is cost effective using standard pelleting technology.
Inventors: Timothy S. Hagen, Thomas J. Malterer, Natural Resources Research Institute, UMDuluth
Licensee: Minnesota Sphagnum, Inc. Exclusive License Agreement
 Conrad Fafard, Inc. Exclusive License Agreement
 Hyde Park Products, Inc. Exclusive License Agreement
- 19. Title: METIS (Software)**
Purpose: A software package for partitioning unstructured graphs and for computing fill-reducing orderings of sparse matrices.
Inventors: George Karypis, Vipin Kumar, Computer Science and Engineering
Licensee: Parametric Technology Corp., Inc. Non-Exclusive Copyright License Agreement
- 20. Title: Hydrogenated Block Copolymers**
Purpose: The invention is a hydrogenated pentablock copolymer prepared by hydrogenating a pentablock copolymer produced from a vinyl aromatic monomer and a conjugated diene monomer.
Inventors: Frank S. Bates, Chin Chu, Chemical Engineering and Materials Science;
 Glenn H. Fredrickson, Stephen F. Hahn, non-U
Licensee: Dow Chemical Company Research Agreement
- 21. Title: A Novel Imaging Ellipsometer**
Purpose: A novel imaging ellipsometer than can characterize the sample with high resolution and form an image of the sample in a parallel fashion.
Inventor: James R. Leger, Qiwen Zhan, Electrical and Computer Engineering
Licensee: CyberOptics Corporation Exclusive License Agreement



Final Revision to OMB Circular A-110

Data Access Law Released

The Office of Management and Budget (OMB) published the final revision to OMB Circular A-110 in the Federal Register on October 8, 1999. The revision requires public access under the Freedom of Information Act (FOIA) to data from federally supported research at universities, teaching hospitals, and non-profit organizations. It responds to the statute introduced by Sen. Richard Shelby (R-Ala.) signed into law last year as part of an omnibus appropriations bill.

The final revision is slightly different from the draft notice OMB released on August 11. Some of the differences include:

- A change in the language protecting material that was "patented or copyrighted" to data "protected under law";
- OMB deciding not to implement a minimum dollar threshold for regulations subject to the FOIA data-access provision;
- Vague language about reimbursement of costs to universities;

- Language stating OMB believes they meet their statutory requirements of the FY 1999 appropriations bill; and,
- Revising the definition of research data to exclude personnel or medical "information".

OMB defends its decision to allow researchers to determine which data may be exempted from release on grounds of confidentiality. OMB states "that it would be the [grant] recipient, not Federal agency staff, who would identify the research data in the recipient's files which are responsive to a FOIA request." OMB reiterated that federal awarding agencies retain the right to ask recipients for more information if the agencies judge a submission to be incomplete.

Senator Shelby said "OMB's rule makes it clear that exceptions will be provided which will address concerns of privacy, trade issues, and other appropriate data which must be protected from disclosure."

For the purposes of reimbursement, federal funding agencies will request recipient institutions to estimate the costs of complying with each FOIA request. Agencies will then be permitted, in accordance with their own regulations, to request appropriate prepayments from the party seeking release of the data.

"The final version came a long way toward the higher education position compared to the first proposal OMB issued last February. Individual granting agencies will now have to adapt to the final rule," said John Engelen, University of Minnesota director of federal relations.

Many people continue to feel FOIA is an ineffective and inappropriate mechanism for promoting the legitimate aims of data sharing and responsible access and that there may be extensive litigation as a result. The final revision becomes effective on November 6, 1999.

U of M settles lawsuit with Glaxo Wellcome

The University settled a year-old lawsuit with Glaxo-Wellcome, the pharmaceutical manufacturer, University President Mark Yudof announced at a news conference October 5. Glaxo agreed to pay the University royalties on the company's worldwide sales of Ziagen, an antiviral drug used to treat AIDS. The agreement settles a lawsuit brought by the University in October 1998, in which it claimed that Ziagen is among several antiviral compounds first patented in the 1980s by College of Pharmacy professor Robert Vince and subsequently licensed to Glaxo.

"This settlement is historic for this university, and for Minnesota," said Yudof. "This is one of the largest publicly reported licensing agreements in

history. It is a compelling example of the value of the public support for this institution. State and federal funds helped the University do this cutting-edge research and the University stood behind its faculty and fought to protect the public's investment," said Yudof.

Glaxo will pay the University a percentage of sales income on a sliding fee scale: 5% of the first \$300 million in world-wide sales, 7% of sales from \$300 million to \$700, and 10% of sales over \$700 million annually. In addition, the University received a one-time payment of \$7.25 million last month. Based on current sales estimates, total royalties from the settlement may exceed \$300 million.

Under federal law, royalty payments to the University are limited to uses that support scientific research and education. Under the University's patent policy, one-third of the royalty payments will go to the inventor, Robert Vince, and his research colleague, Mei Hua. The remaining two-thirds will be used to support scientific research and education at the University.

The settlement also brings attention to the kind of research being done at the University and why researchers do this kind of work. "Most of the settlement coverage so far has focused on the amount of money involved," said Tony Strauss, acting assistant vice president

(Glaxo, continued on next page)

NSF Merit Review Criteria

Merit review is a critical component of the National Science Foundation's decision-making process for funding research and education projects. Two years ago, NSF announced changes in its merit review criteria (Important Notice No. 121, New Criteria for NSF Proposals, July 10, 1997). The changes reflected extensive analysis and discussion, with community input. Recommendations were considered to simplify the merit review criteria and harmonize them with the NSF strategic plan, in order to weigh a proposal's technical merit, creativity, educational impact and its potential benefits to society. This process resulted in the two criteria now in effect, which address the intellectual merit of the proposed activity and its broader impacts.

Through use of rigorous, competitive merit review, NSF maintains high standards of excellence and accountability. It enables investments in projects that couple the best ideas from the most capable researchers and educators, with the advancement of discovery and learning and the enrichment of science and engineering resources. The following texts are the two merit review criteria and supporting explanations, from the upcoming revision to the NSF Grant Proposal Guide (NSF 002). Following each criterion are potential considerations that the reviewer may

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Glaxo, {continued from previous page}
of the University's Patents and Technology Marketing Office. "That's a significant part of the story but it's also important to remember the purpose of Ziagen and that the research behind it was to develop a product that will benefit the general public. It will help many people live happier, healthier lives," said Strauss. "I am absolutely thrilled that our discovery is now being used in the treatment of AIDS patients," said Vince.

employ in the evaluation. These are suggestions and not all will apply to any given proposal. Each reviewer will be asked to address only those that are relevant to the proposal and for which he/she is qualified to make judgments.

Criterion 1: What is the intellectual merit of the proposed activity?

How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields? How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of prior work.) To what extent does the proposed activity suggest and explore creative and original concepts? How well conceived and organized is the proposed activity? Is there sufficient access to resources?

Criterion 2: What are the broader impacts of the proposed activity?

How well does the activity advance discovery and understanding while promoting teaching, training, and learning? How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)? To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships? Will the results be disseminated broadly to enhance scientific and technological understanding? What may be the benefits of the proposed activity to society?

PIs should address the following elements in their proposal to provide reviewers with the information necessary to respond fully to the above-described NSF merit review criteria. NSF staff will give these elements careful consideration in making funding decisions.

Integration of Research and Education

One of the principal strategies in support of NSF's goals is to foster integra-

tion of research and education through the programs, projects and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students, and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives.

Integrating Diversity into NSF Programs, Projects, and Activities

Broadening opportunities and enabling the participation of all citizens — women and men, underrepresented minorities, and persons with disabilities — are essential to the health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

*Rita R. Colwell
Director-NSF*

Cybyse Retires

Mary Cybyse, who worked for Sponsored Projects Administration, in its various incarnations for over 29 years, has retired. Her last day was October 29. There are many staff in SPA who do not remember a time when she was not here to help and advise.

"Mary-C," as she was known, worked in various positions, including administrative director, and finally as Management Information Systems (MIS) coordinator.

Long-term employees like Mary-C add value to any organization, not the least of which is history. She will be greatly missed in more ways than one.

More Information

To generate copies of NIH and NSF application forms, please go to EGMS at <http://nirvana.ospa.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>, or to NSF at <http://www.nsf.gov/cgi-bin/getpub?nsf003> (For help, call the EGMS help Line at 612.624.1600.)

For funding searches

Please contact the Office of the Vice President for Research
612.625.7585; facgrant@gold.tc.umn.edu
<http://www.research.umn.edu/research.html>

To link directly to the web sites listed, go to the *Research Review* web site at
<http://www.ospa.umn.edu/resrev.htm>.

Procter & Gamble

* University Exploratory Research Program

Proposals will be accepted in two areas, microbiology (three awards will be made), and making processes for nanoparticles (two awards). Each award will be up to \$150,000 for up to two years.

The application deadline is **January 18, 2000**. Contact Program Administrator, University Exploratory Research Program, Procter & Gamble, Miami Valley Labs, PO Box 538707, Cincinnati, OH 45253-8707; fax 513.627.1153. Or go to <http://www.pg.com/about/rnd>.

National Science Foundation* Solar Maximum 2000
NSF 99-173

With the International Space Science Institute (ISSI), funding of up to \$100,000 on a topic related to the upcoming solar maximum. One award will be made.

A letter of intent is required by **January 4, 2000**; full proposals are due **March 1, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf99173>.

* National Space Weather Program
NSF 99-174

Proposals are requested for basic research to meet the goals of the National Space Weather program, which are mitigating the adverse effects of space weather by providing timely, accurate, and reliable space environment observations specifications, and forecasts.

Funds are available to support 15-20 awards, averaging between \$50,000 and \$80,000 per year for up to three years.

The application deadline is **January 7, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf99174>.

* Research on Functional Genomics
NSF 99-171

To support research on plant genomics, and to accelerate the acquisition and utilization of new knowledge and innovative approaches to explain fundamental biological processes in plants.

An anticipated 15 awards will be made, ranging from \$300,000 to \$1 million per year for one to five years.

A letter of intent is *encouraged* by **November 8, 1999**; full proposals are due **January 7, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf99171>.

NSF, continued

* Scientific Computing Research for
the Mathematical Sciences
NSF 99-154

Proposals may request support for purchase of computing equipment, and limited support for professional systems administrators or programmer personnel for research computing needs for *specific projects* in the mathematical sciences.

Approximately 20 awards will be made. Cost sharing is required.

The application deadline is **January 28, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf99154>.

* Information Technology Research
NSF 99-167

Funding for fundamental research in information technology, encouraging, in particular, research spanning information technology and sciences applications in the area of social, ethical, and workforce issues.

For proposals requesting over \$500,000, a brief letter of intent must be e-mailed by **November 15, 1999**; pre-proposals are due **January 5, 2000**, and full proposals are due **April 17, 2000**. For proposals requesting less than \$500,000, letters of intent are due **January 5, 2000**, and full proposals are due **February 14, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf99167>.

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- * Instrumentation for Materials Research
NSF 99-170

To support the acquisition or development of research instruments that may 1) discover fundamental phenomena in materials; 2) synthesize, process, and/or characterize the composition, structure, properties, and performance of materials; and 3) improve the quality, expand the scope, and foster and enable the integration of research and education in research-intensive environments.

Approximately 35-40 awards will be made.

The application deadline is **January 3, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf99170>.

- * Engineering Curriculum Innovation
NSF 99-169

To support innovative proposals that will improve the quality of engineering education by addressing one or more of the following: major technology tracks; curricula for emerging areas of engineering; structured early career support.

Award amount may not exceed \$500,000 total for projects with a duration of three years.

The application deadline is **January 31, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf99169>.

National Endowment for the Arts and Humanities

- * Challenge American Small Grants

To fund a program that will communicate information to targeted areas of the country and communities that have historically been underrepresented as recipients of grants from NEA.

The application deadline is **November 29, 1999**. Applications must be requested *in writing* from the National Endowment for the Arts, Grants and Contracts Office, Room 618, 1100 Pennsylvania Avenue NW, Washington, DC 20506.

United States Information Agency

- * Three awards are being offered:
 - 1) Summer Institute on the U.S. Political System;
 - 2) Summer Institute on the Cultural Geography of the United States; and
 - 3) Summer Institute on the United States through Literature.

The application deadline is **January 14, 2000**. Go to <http://e.usia.gov/education/rfps>.

Exchanges and Training Programs for the New Independent States.

To encourage the growth of democratic institutions in the New Independent States of the former Soviet Union through internships, study tours, short-term training, consultations, and extended, intensive workshops.

The application deadline is **December 22, 1999**. Go to <http://e.usia.gov/education/rfps>.

U.S. Department of Education

- * Federal TRIO Programs
CFDA 84.103A

To train staff and leadership personnel employed in, or preparing for employment in, projects funded under the Federal TRIO programs, to improve the operation of those programs and projects.

Approximately 26 awards will be made ranging from \$170,000 to \$290,000 a year for up to two years.

The application deadline is **December 10, 1999**. Go to <http://www.ed.gov/pubs/edpubs.html>.

- * Visiting Scholars Fellowship Program
CFDA 84.309V

Allows individuals to conduct educational research at the Office of Educational Research and Improvement (OERI) research institutes in Washington DC for up to 12 months.

Awards range from \$50,000 to \$100,000 per fellow. Five to eight awards will be made.

The application deadline is **January 24, 2000**. Go to <http://www.ed.gov/pubs/edpubs.html>.

National Institute of Justice

- * Investigator-Initiated Research

To explore a wide range of topics relevant to criminal justice policy or practice in the following five priority areas: 1) Rethinking justice and the processes that Create Just Communities; 2) Understanding the nexus between Crime and its Social Context; 3) Breaking the Cycle of Crime by Testing Research-Based Interventions; 4) Creating the Tools; and 5) Expanding the Horizons.

The application deadline is **January 18, 2000**. Go to <http://www.ncjrs.org/fedgrant.htm#nij>, or <http://www.ojp.usdoj.gov/nij/funding.htm>.

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Alzheimer Association

The research focus is interventions in Alzheimer's Disease, with two major thrusts in biological and social-behavioral approaches to prevention and treatment.

Funds in the amount of \$22 million are available for 1) Two Pioneer Awards (up to \$1 million each for up to five years); 2) Five Zenith Awards (\$250,000 for two years); 3) One Hatfield Award (\$225,000 for two years); 4) Fifty-six Investigator-Initiated Grants (\$240,000 for three years; and 5) Twenty-five New Investigator Grants (\$100,000 for two years).

The submission deadline is **December 1, 1999**. Go to <http://www.alz.org>.

Department of Energy

* Research, Development, and Demonstration

Requesting applications for grants and cooperative agreements supporting renewable energy, and energy efficient basic research, directed and applied research, cooperative demonstrations, and related activities.

Deadlines may vary. Copies of the solicitation and supplemental announcements, once issued, may be found at <http://www.eren.doe.gov/golden/solicitations.html>. For other information contact Ruth E. Adams, 303.275.4722, ruth_adams@nrel.gov.

* Inventions and Innovation Program

To improve energy efficiency through the promotion of innovative ideas and inventions that have significant potential energy impact and a potential future commercial market. Project areas are agriculture, aluminum, chemicals, forest products, glass, metalcasting, mining, petroleum, and steel.

Funding is up to \$200,000.

An abstract must be submitted on or before **March 17, 2000**; pre-proposals are due between March 18 and July 31, 2000; the final application is due **July 31, 2000**. Go to <http://www.oit.doe.gov/inventions>. A hard copy of the abstract may be obtained from Jennifer Palasz, 303.275.4764, fax 303.275.4788.

Social Security Administration

* Disability Research Institute

To award a cooperative agreement for the establishment of a Disability Research Institute (DRI), to help fill the need for more extensive research in the disability area, to inform the public and policymakers about disability policy alternatives and their consequences, and for professional training.

The award will be \$1.25 million the first year, and \$1 million per year for four more years.

The submission deadline is **January 12, 2000**. No web site was listed. Requests should be submitted via mail, fax, or e-mail to Grants Management Team, Office of Acquisition and Grants, Social Security Administration, 1-E-4 Gwynn Oak Building, 1710 Gwynn Oak Avenue, Baltimore, MD 21207-5279. Fax, 410.966.9310 or 410.966.1261; joe.smith@ssa.gov or dave.allshouse@ssa.gov.

Whitaker Foundation

* Biomedical Engineering

A private, nonprofit foundation dedicated to improving human health through the support of biomedical engineering. Programs are:

- Biomedical engineering research grants
- Graduate fellowships in biomedical engineering
- Special opportunity awards in biomedical engineering
- Biomedical engineering development awards
- Leadership awards in biomedical engineering
- Industrial internships for biomedical engineering students
- Teaching materials program

Deadlines vary. Go to <http://www.whitaker.org/>.

Fax number	612.624.4843	
SPA's Web site	http://www.ospa.umn.edu	
Associate Vice President, SPA	Ed Wink	624.1648 ewink@ospa.umn.edu
Assistant Vice President, and Interim Director, SPA	Winifred A. Schumi	624.5750 wschumi@ospa.umn.edu
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Navy; misc. federal (grants only); NIH	Jim Garrison	625.1359 garri005@ospa.umn.edu
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NSF	Sandy Kenyon	624.9567 kenyo003@ospa.umn.edu
Ag. associations, voluntary health, other private	Kate Tennessen	626.7718 tenne009@ospa.umn.edu
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Patents and Technology Marketing , information: 612.624.0550; fax: 612.624.6554; web: http://www.ptm.umn.edu		ptm@ptm.umn.edu
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Technology licensing	Jeff Carpenter	624.6426 carpe012@ptm.umn.edu
Software licensing	Jim Hildebrand	624.9568 hilde017@ptm.umn.edu
Technology licensing	Beth Trend	626.9293 btrend@ptm.umn.edu
Technology transfer coordinator (Sota Tec Fund)	Fred Janzen	625.8826 janze011@ptm.umn.edu
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Technology licensing	TBA	@ptm.umn.edu
Technology licensing	Paul Korathu	624.8205 korat001@ptm.umn.edu
Technology transfer liaison	Susan Patow	624.3966 patow001@ptm.umn.edu
Indirect Cost, Effort Certification		
Indirect cost and other rate development	Steve Bradley	626.9895 bradl011@ospa.umn.edu
Effort help line		612.625.7824 effort@ospa.umn.edu
Information Services		
MIS coordinator	Mary Cybyske	624.6085 mcybyske@ospa.umn.edu
<i>Levels & Trends</i> and proposal and award data questions	Mary Bendtsen	624.0583 mbendtse@ospa.umn.edu
Duluth, Office of Research & Technology Transfer		
Sr. grant and contract administrator	Jim Loukes	218.726.7583 jloukes@ub.d.umn.edu
Morris, Grants Development , http://www.mrs.umn.edu/services/grants		
Director	Tom Mahoney	320.589.6462 mahoneyt@mrs.umn.edu
related numbers		
Sponsored Financial Reporting , fax: 612.626.032; web: http://www.sfr.umn.edu		
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Supervisor, industry, NSF, subcontracts	Kerry Marsolek	624.8353 kerry@sfr.umn.edu
Supervisor, NIH, USDE	Pat Healy	624.7033 healy003@sfr.umn.edu
Supervisor, other federal	Susan Harris	624.7850 @sfr.umn.edu
Research Subjects' Protection Programs , fax 612.626.6061; web: http://irb@umn.edu / http://iacuc@umn.edu		
Director	Moira Keane	626.5654 keane002@tc.umn.edu

Instructions on Changing Addresses

SPA cannot change the faculty mailing list.

It is generated by Human Resources and changed in your department.

For faculty changes, please call your departmental payroll or Human Resources coordinator.
(Faculty labels are those with a string of seven numbers printed above the addressee's name.)

For changes regarding *other* labels, please complete the following:

Change Name: _____

Add Department: _____

Delete Building & Room No.: _____

Mail Delivery Code (if on campus): _____

City, State, Zip (if off campus): _____



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Research

Review

Sponsored Projects Administration
Patents and Technology Marketing
Oversight Analysis and Reporting

December 1999

Volume XXIX, Number 6
<http://www.ospa.umn.edu/resrev.htm>

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Awards, Publications, and Honors

<http://www.ospa.umn.edu/awards.htm>, or
<http://www.ospa.umn.edu/publications.htm>

Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of the month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, erick210@tc.umn.edu.

Parking Availability at Our New Location

When the Sponsored Projects Administration, Patents and Technology Marketing, and Sponsored Financial Reporting offices moved to their new campus location at the McNamara Gateway Building, accessibility to the offices changed - in some ways positively and in other ways negatively - but the negative changes are temporary.

Part of the temporary difficulty in access is in visitor parking. While the current parking situation is not as convenient as it was at our Washington Avenue location, we anticipate that the situation will improve as the Gateway facility is completed. In the meantime, we would like to inform our clients of a few options for current parking, including:

- three spots for visitors with official University car permits
- three spots for visitors with loading zone permits
- quarter meters in the West Lot
- quarter street meters on Oak Street and Beacon Street

Departmental units often hold the parking permits described above.

An additional option is to use the University bus system and Campus Circulator, both of which have stops close to the McNamara Gateway building.

Although the move has created a temporary inconvenience, we are confident that our return to campus will allow us to better serve the University research community. Together with the other tenants, we will work with building management to increase access and improve the parking situation.

Thank you for your patience during this transition period.

On behalf of our staff,

Happy Holidays
and

Our best wishes for a productive New Year

RESEARCH REVIEW

Volume XXIX, Number 6

December 1999

Editor: Bruce Erickson

Editorial Assistant: Tove Jespersen

Associate Vice President: Ed Wink

Research Review is a monthly publication of the office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 450 Gateway Building, 200 Oak Street SE, Minneapolis, MN 55455-2070, or call Bruce Erickson, 612.625.2354, erick210@tc.umn.edu, or Tove Jespersen 612.624.006, tove@tc.umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New *provisional* rates effective Fall, 1999

TA, RA, AF: standard of gross salary	\$5.13/hr	+	7.6%
TA, RA, AF: advanced master's or Ph.D.	\$.93/hr	+	7.6%
Summer session semester TA, RA, AF	—		7.6%
Summer session TA, with tuition	\$9.68/hr	+	7.6%
Summer session TA, without tuition	—		7.6%

Professional program assistant	—		7.6%
Dental fellow *	\$3.35/hr		—
Medical fellow *	\$2.57/hr		—

To the rates listed above, add 7.7% to the 7.6% when a graduate student is enrolled for fewer than 3 credits, or less than 1 credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. This is a change from previous years.

Other Job Classes

	Civil Service	Academic	Post-doc class #9546
7/1/98 - 6/30/99	25.6%	27.1%	13.9%
7/1/99 - 6/30/00	24.4%	27.6%	14.2%
7/1/00 - 6/30/01	27.9%	27.4%	14.3%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009.

Complete details of fringe benefit rates for all classes of UM employees are available at www.fpd.finop.umn.edu/groups/ppd/documents/rates/fringe1999_2000.cfm.

Rate changes will be reflected in this section.

Facilities & Administrative (F&A) (Indirect Cost) Rates

The rates listed to the right come from the University's most recent F&A/indirect cost agreement, dated *March 1, 1999*. This date should be used where required on applications. **For periods beyond June 30, 1999, the rates listed to the right are *provisional* until amended.**

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration, 612.624.5599. If you have questions on F&A/indirect cost rate development, please call Steve Bradley, 612.626.9895.

Research

On-campus	47.00% MTDC
Off-campus *	26.00% MTDC
SAFL on-campus	54.00% MTDC
SAFL off-campus	26.00% MTDC
Hormel on-campus	50.00% MTDC
Hormel off-campus *	26.00% MTDC

Other Sponsored Activity

On-campus	35.00% MTDC
Off-campus *	26.00% MTDC

Instruction

On-campus	52.00% MTDC
Off-campus *	26.00% MTDC

MTDC (Modified Total Direct Cost):

Total direct cost minus: graduate student fringe benefits, equipment, capital expenditures, charges for patient care, tuition remission, rental costs of off-site facilities, scholarships, and fellowships, as well as the portion of each subgrant and subcontract in excess of \$25,000.

★ A project is considered off-campus if more than 50 percent of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased

Controller's Organization Update to Implementation of New Uncollectable Cost Policy

Removing Uncollectible Costs Charged to Sponsored Projects (Financial Policy 3.2.5):

As referenced in the October *Research Review*, this new policy was issued in September 1999. The policy covers any costs charged to sponsored projects that ultimately will not be collected from the sponsor, including cost overruns, unallowable costs, and costs not collectible because of sponsor disputes or bankruptcy. Generally, the policy requires that any costs deemed uncollectible be removed from the sponsored account and moved to a departmental nonsponsored account. For costs not moved by departments, Sponsored Financial Reporting (a unit within the Controller's Organization) will move the costs to "default" nonsponsored accounts which have been set up within each CUFS area.

Sponsored Financial Reporting (SFR) has previously distributed reports identifying uncollectible sponsored project costs that were at least six months old. Since then, SFR has worked with departments to confirm the accuracy of the uncollectible costs listed in the reports, and to resolve discrepancies between SFR, departments, and princi-

pal investigators. Beginning in December, SFR will start moving any remaining uncollectible costs to the "default" nonsponsored accounts. Generally, overdrafts will be moved first, starting with the oldest overdrawn accounts.

Prior to removing any costs from sponsored accounts, SFR accounting personnel will communicate via e-mail with the departmental accountant (with a copy to the principal investigator and the department administrator) to ensure that there are no surprises. Once costs are moved, copies of documentation will be forwarded to the department for their files.

Any questions should be directed to the SFR accountant that you normally work with.

This policy may be found on the web at <http://www.fpd.finop.umn.edu/groups/ppd/documents/main/FINhome.cfm>.

Controller's Organization Cost Transfer Guidelines Revised

The Controller's Organization and Sponsored Project Administration have revised the *Guidelines for Cost Transfers*. The guidelines have been integrated into the existing Controller's policy, *Processing Internal Accounting Transactions* in the form of a new procedure entitled *Adjusting or Correcting Internal Accounting Transactions Involving Sponsored Projects* (Procedure 3.2.4.3).

The new procedure outlines the criteria for changing a charge to a sponsored account, details how to prepare the transaction documents, identifies what approvals need to be obtained, and explains how to process the forms. The procedure also incorporates processing instructions for departments in the certified approver program. Significant elements of the new procedure include:

- The previous "60 day" and "30 day" limits have been standardized into a single new deadline for processing cost transfers: within 30 days after the end of the accounting period in which the original charge was processed or after the project or budget period end.
- Principal investigators only need to approve nonsalary cost transfer documents if they listed an incorrect account number on the original request.

This policy may be found on the web at <http://www.fpd.finop.umn.edu/groups/ppd/documents/main/FINhome.cfm>.

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Electronic Grants Management System Did You Know?

Incoming principal investigators can complete an electronic Proposal Routing Form before they actually get to the University. To do this, the principal investigator needs to establish an X.500 id and account with the Technology Helpline. An X.500 id is set-up one day after the departmental human resources person sends the appropriate paperwork to the Technology Helpline Office. Please contact your departmental administrator or the Technology Helpline at 612.626.4276. with questions.

Reminder

Effective November 1, 1999, all Proposal Routing Forms (PRF) must be prepared on the web-based form in the Electronic Grants Management System (EGMS). It may be found at <http://nirvana.ospa.umn.edu> under Office of Sponsored Projects Administration Forms. If you have questions, please call the grants assistance number at 612.624.1033, the EGMS technical assistance helpline at 612.624.1600, or your grant administrator.

Changes to the Principal Investigator Eligibility Policy on Sponsored Projects

The University Board of Regents approved a new policy on principal investigators last month. The policy defines who can be a principal investigator for purposes of receiving grant funding from the federal government and others. This policy is one of many steps the University has taken to improve grants management in response to concerns raised by the National Institutes of Health. The procedures for this policy will be available in the future.

The policy covers eligibility and determination of principal investigator status, approval of proposals, and relationships between principal investigators, the University, and the sponsored project. Some of the changes include:

- Broadening eligibility to include nonacademic staff and automatically giving faculty principal investigator status.

- Rescinding principal investigator status for just cause with the individual being able to appeal the decision through University policies and procedures
- Requiring principal investigators to complete all required training before the Sponsored Projects Administration (SPA) can release any award documents.

This policy may be found on the web at <http://www.umn.edu/regents/policies/academic/PrincipalInvestigator.pdf>.

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Certified Approver Examinations Schedule

December 1999 - June 2000

Preregistration Required

Exam times:

Part 1: 8 a.m., 10 a.m., 1 p.m.

Part 2: 9 a.m., 1 p.m.

Rooms will be assigned when registration is confirmed.

Exam schedule current as of November 15, 1999.

<u>Date</u>	<u>Day</u>	<u>Part</u>	<u>Date</u>	<u>Day</u>	<u>Part</u>
December			April		
8	Wednesday	1	3	Monday	2
10	Friday	2	4	Tuesday	1
13	Monday	1	11	Tuesday	2
15	Wednesday	2	17	Monday	1
January			25	Tuesday	2
5	Wednesday	1	May		
10	Monday	2	2	Tuesday	1
19	Wednesday	2	8	Monday	2
25	Tuesday	1	16	Tuesday	2
31	Monday	2	23	Tuesday	1
February			31	Wednesday	2
2	Wednesday	2	June		
7	Monday	1	6	Tuesday	2
15	Tuesday	2	13	Tuesday	1
23	Wednesday	1	19	Monday	2
28	Monday	2	20	Tuesday	2
March			28	Wednesday	1
1	Wednesday	2			
6	Monday	1			
13	Monday	2			
22	Wednesday	1			
28	Tuesday	2			

To register, complete the registration form that is part of the information packet recently distributed to collegiate offices. The packet includes program information, general topics covered by the exam, sample questions, and a copy of the exam schedule. The packet includes information on available classes, but there is *no* certified approver class. Attendance at any class is *not* required prior to taking the exam.

Having personnel who have successfully completed both parts of the examination is not sufficient for departments to participate in the Certified Approver Program. Colleges must also have publicized within their college their plan to resolve disagreements. A copy of this plan and procedures for having alternate certified approvers must also be filed with the Office of Oversight, Analysis, and Reporting.

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National Science Foundation Important Reminder

The FastLane submission requirements for unsolicited proposals, as mentioned in the Dear Colleague letter dated February 8, 1999 (for full text see: <http://www.nsf.gov/pubs/1999/nsf9983/nsf9983.htm>), applications sent to BIO after May 2, 1999, require at least partial electronic submission (proposal cover page, project summary, and the BIO proposal classification form) via FastLane. Full FastLane submission is encouraged. For instructions on how to prepare a proposal for the BIO Directorate, please visit the following website: <http://www.fldev.nsf.gov/a1/BioInstr.htm>.

In addition to the FastLane requirements, we would like you to remind PIs to consult the Grant Proposal Guide (GPG) (<http://www.nsf.gov/pubs/2000/nsf002/contents.htm>) for formatting instructions before submitting their proposals. In a recent competition, we had to return several applications due to noncompliance issues. To avoid this,

please have PIs read the document carefully and pay special attention to the following requirements:

1. Project Summary - one page only
2. Project Description -
 - No more than 15 pages (including figures)
 - If the PI has received a grant within the last five years, the project description must include a section on results from prior NSF support
 - At least one-inch margins (top, bottom, left, and right)
 - Type and spacing may be no smaller than 15 characters per inch (about type size 11, but please be cautious since this varies with different fonts) and 6 lines per inch
 - No unallowable appendices
3. References - Must include article titles
4. Biographical Sketches -

- Two-page maximum
- Must include a list of names for the PI's advisor(s), collaborators (from the past 48 months), and advisees (postdoctoral or graduate students)
- Must include a section on Synergistic Activities (see GPGM for explanation)
- No more than 10 publications may be listed in the biographical sketch

5. Current and Pending Support - Include this information for each PI

Thank you for your cooperation. Please remember that as of October 1, 2000, **ALL** proposals must be submitted via FastLane.

Sincerely,

Lynn Fletcher
Molecular and Cellular Biosciences
National Science Foundation

Update on Forms 14 and 15

Two new forms recently became available on the Web for principal investigators to use when seeking approval for, and reporting on, external professional activities like outside consulting.

Both forms follow the criteria established in the Regents' policy "Outside Consulting, Service Activities, and Other Work." This policy may be found at <http://www1.umn.edu/regents/policies.html>.

The first form, Request for Consultant or Outside Service Agreement (ROC) is the old form #14. All academic employees must complete this form for approval to engage in external professional activities. Regent's policy states that individuals shall obtain prior approval for each outside professional activity that is engaged in for more

than an average of one day per month in the current term of appointment.

The second form, Annual Report of External Professional Activities (AREPA), is the old form #15. All academic employees must complete this form yearly as an annual report of their total external professional activities that have the potential of a conflict of interest in regard to their University duties. Such reporting is not to discourage such external relationships, but to assist academic employees to arrange them so as to be compatible with their primary duties as University employees. Because many external relationships enhance professional skills and serve legitimate public interests, it is the presumption that such activities are appropriate unless they give rise to an actual conflict of interest.

Information regarding completing these forms electronically was first sent to faculty in the Academic Health Center and Institute of Technology in mid-November with a second mailing sent to the rest of the campus shortly thereafter. To access these forms, go to <http://nirvana.ospa.umn.edu>.

Please contact your departmental administrator with questions regarding processing deadlines and other procedural related issues. If you have technical questions for using the web, contact the EGMS Technical Helpline at 612.624.1600 or the EGMS Business Helpline at 612.624.1033.

National Science Foundation

Update: Implementation of the New NSF Cost Sharing Policy

As noted in the June, 1999 issue of the *Research Review*, the National Science Foundation (NSF) implemented a new Cost Sharing Policy effective May 7, 1999. The following is an update containing significant aspects of the new policy. The new policy became effective immediately and will be incorporated as appropriate in the next revision of the NSF Grant Proposal Guide (GPG). Significant aspects of the new policy include:

- NSF-required cost sharing is considered an eligibility rather than review criterion.
- NSF cost sharing requirements beyond the statutory requirement (one percent) will be clearly stated in the program announcement, solicitation or other mechanism which generates proposals. For unsolicited research and education projects, only statutory cost sharing will be required. This includes all proposals submitted solely in response to the NSF Grant Proposal Guide. In such proposals, and all others not covered by special cost sharing requirements, NSF program officers must follow the current GPG guidance which states that they may discuss with principal investigators the "bottom line" award amount, but may not [re]negotiate or impose cost sharing or other institutional commitments.
- Any negotiations regarding cost sharing will occur within the parameters stated. Further, any reduction of 10 percent or more from the amount proposed should be accompanied by a corresponding reduction in the scope of the project, unless the program officer, principal investigator, and institution clearly agree that the project as proposed can be carried out at a lesser level of support from NSF with no expectation of any uncompensated institutional contri-

bution beyond that formally reflected as cost sharing.

- Equipment requests present some complications under this policy which might best be illustrated by an example. Imagine that a PI has requested a workstation for computational analyses to be done within the scope of the proposed project. While the PI has budgeted \$15,000, the panel reviewers note that they have each recently purchased a similar workstation, without the extra bells and whistles which they deem unnecessary to the project, for \$8,000. If the program officer recommends the budget be reduced by \$7,000 to allow purchase of the less-expensive version, the PI might still feel the bells and whistles are essential and may feel pressured to negotiate with the University to make up the difference to allow the award to go forward. Note that it is possible that the program officer may be entirely unaware that a cost-sharing negotiation has been sparked by this recommendation.

This situation needs to be deconstructed since several different issues are raised.

1. In this situation, no cost sharing negotiation should be involved. Program directors have always been authorized to reduce or eliminate specific budget items that are unnecessary or unreasonable for the activities to be undertaken, especially when the review process supports such changes. However, it is inappropriate for the NSF program officer to suggest or imply that issuance of an award is contingent upon the PI obtaining additional funds to make up the difference between the less expensive and more expensive equipment item.
2. If the organization accepts the award at the reduced level and is convinced

by the PI that the more expensive item is necessary, any discussions on this topic within the organization are outside the NSF domain. Organizational Administrators and PIs should be aware, however, that any contribution by an organization of additional resources to an NSF-supported project may be considered to be cost sharing for audit purposes.

- In a similar question concerning an equipment only proposal, a budget reduction that is based on recommendations received from reviewers, from the amount that was originally proposed, may not be acceptable to the organization. In such cases, when equipment is reduced (e.g. smaller machine, less costly, fewer bells and whistles) the organization's first choice is whether or not to accept the award. It would be inappropriate for the NSF program officer to suggest that the original equipment item could be purchased if the organization would make up the cost differential. It would similarly be inappropriate for the PI to suggest to the NSF program manager that if the award were contingent upon the organization securing the originally proposed equipment it would provide leverage for the PI to hold over the organization.

The full text of the policy statement and Frequently Asked Questions (FAQs) regarding the new NSF Cost Sharing Policy are available electronically on the NSF website at <http://www.nsf.gov/bfa/cpo/policy/start.htm>.

If you have questions, please contact your grant administrator.

Information for this article came from the NSF policy office.



National Science Foundation What's New in FastLane

New Proposal Preparation and Submission System

The new proposal preparation and submission system is designed to make it easier to prepare and submit proposals via FastLane.

PIs (Principal Investigators) and SROs (Sponsored Research Offices) can use this new system to prepare and submit their proposal. It is available on the FastLane home page (<http://www.fastlane.nsf.gov>) by clicking on the "Proposal Preparation-Production Test" link. Though the application will be in production testing mode, it can immediately be used to prepare and submit proposals. For several weeks, the old preparation system will be available alongside the new system. If you are preparing a proposal in one of the systems, you can, at any time, go to the other system to complete your work. After several weeks, the old system will be pulled from the FastLane home page. All proposals started in the old system can be completed and submitted using the new system.

One of the main enhancements to the system is that the navigation bar is now available on the right side of every screen where data cannot be saved. This navigation bar allows the user to go directly to any section of the system. Also, PIs can now upload their Section I-Supplementary Documentation information as a separate PDF file or by entering it as a text block.

Enhancements to the proposal preparation system include the ability to copy one budget year to another budget year, the ability to change the PI on the proposals, and improved error handling. In the new system the budget notes fields have been taken out since all budget notes should be entered in the Budget Justification.

The proposal submission system has also been enhanced. The PI can now provide the following access to their proposal:

- Allow SRO or equivalent to view proposal but not submit
- Allow SRO to view and edit but not submit proposal
- Allow SRO to view, edit and submit proposal
- Remove SRO access to view, edit, and submit proposal.

As always, only the SRO can submit the proposal. The Sponsored Research Office can now also edit the proposal within the "Submit Proposal" module of the "Institutional Management" application. Furthermore, the capability for the SRO to correct the cover sheet and budget within 60 minutes of proposal submission has been added.

Edit PI Information

A new function to allow PIs to change their personal information (name, location, demographic information) is now available from the FastLane homepage. It is listed under PI/CoPI Functions.

Major Research Equipment/Facilities Performance Reports

The Project Reports System now allows PIs to report on the performance of their major research equipment/facilities projects. This option will be displayed only on awards that are major research equipment/facilities grants.

Project Reports Inactive Connection Time Limit

A time limit has been added to the Project Reports system for inactive sessions. If you do not click on a button that sends a transmission to FastLane within three hours, the system will timeout, and you will have to log into the system again to resume your session.

Project Reports Access Limits

To prevent PIs from accidentally submitting multiple copies of the same project report, the Project Reports system has been changed as follows:

Annual Reports - once the NSF program officer has approved an annual project report for a given reporting period, the PI cannot work on another annual report for the same reporting period for the same award. If the PI wants to work on another annual report, the PI must change the reporting period. Once this is done, the PI will be allowed to proceed with the preparation of the report.

Final Reports - once the NSF program officer has approved a final report, the PI cannot work on another final report for the same award. If the PI attempts to do so, the PI is directed to work on and submit an Interim report.

Project Reports Unsubmit Capability

PIs now can unsubmit Project Reports. Only reports that have not yet been approved by the NSF program officer can be unsubmitted. To unsubmit a report, click on the Unsubmit Pending Reports link located in the center column on the System Control screen.

Change in Hours of FastLane Availability

The method used for transferring data between FastLane and NSF central databases has significantly changed. This will result in the actual downtime for FastLane being reduced from four to six hours to five minutes. This five minute downtime will be between 5:00 am and 7:00 am eastern standard time.

Acrobat Distiller Instructions

Detailed instructions for users of Acrobat Distiller:

4.0. Please see either Acrobat Distiller 4.0 for MacIntosh or Acrobat Distiller

4.0 for Windows. FastLane is working on separate instructions for UNIX.

Information for this article came from NSF's FastLane website.

Presidential Review Directive

The Assistant to the President for Science and Technology issued a Presidential Review Directive in September 1996, directing the National Science and Technology Council (NSTC) to review the government-university partnership in research and associated educational activities, and to recommend ways to strengthen it. NSTC's goal was to assess and reaffirm the principles of the partnership, promote cost-effective university-based research, ensure fair allocation of research costs, and support the linkage between research and education, all while maintaining appropriate accountability for expenditure of public funds.

Earlier this year NSTC released its report entitled *Renewing the Federal Government – University Research Partnership for the 21st Century*. The report identified a number of areas in which the partnership can be strengthened by taking action in three areas.

- NSTC will issue a proposed statement of the principles of the partnership to clarify the roles, responsibilities, and expectations of the parties providing a framework for future policies rules, regulations, and laws.
- NSTC will reaffirm the importance of the linkage between research and education.
- NSTC, through the Federal agencies funding university-based research, will implement actions to make the partnership more effective and efficient.

University of Minnesota research administrators including Chris Maziar, vice president for research and David Hamilton, director of the Sponsored Programs Management Project recently attended regional meetings to discuss the impact of this report. Others plan to attend future regional meetings to provide input on behalf of the University.

"The goal of the report and the meetings following its release is to streamline the administration of sponsored projects so researchers can concentrate on their research and educating students and future researchers," said WinAnn Schumi, assistant vice president for research and project manager of the Grants Management Project. "The hope is to make grant administration consistent across all federal agencies to make the partnership more efficient," said Schumi.

To find the report on the web, view President's statement, see reports from regional meetings, and to respond electronically, go to the following: <http://whitehouse.gov/WH/EOP/OSTP/html/rand/index.htm> and click on "Your Comments". In addition, individuals may provide input by contacting Dr. Arthur Bienenstock, Associate Director for Science, Office of Science and Technology Policy, Executive Office of the President, Washington, D.C. 20502.

Vice President for Research Position Available

The Vice President for Research and Dean of the Graduate School invites applications and nominations for the position of Associate Director of the Office of Sponsored Projects Administration (SPA). The holder of this position will have full operational responsibility for the office.

Applications will be reviewed beginning December 17, 1999 and will continue until the position is filled.

The full position description may be found on the Human Resources web page at http://www.ohr.umn.edu/1617/job_list.cfm, under job number GS634.

What's New in Grants Management

An index to changes and announcements

December 1999

(month 6 of UM fiscal 2000)

- SPA Update 0009** – Principal Investigator Eligibility Policy
 Issued: November 12, 1999
 Supersedes: University Senate Policy on Principal Investigator Eligibility on Sponsored Projects, dated May 15, 1980
 Effective: November 12, 1999
 Change: See the article, page four of the December *Research Review*.
- SPA Update 0010** – A new procedure entitled *Adjusting or Correcting Internal Accounting Transactions Involving Sponsored Projects* (Revised Cost Transfer Guidelines)
 Issued: December 1999
 Supersedes: Cost Transfer Guidelines
 Effective: December 1999
 Change: See the article, page three of the December *Research Review*.

More Information

To generate copies of NIH and NSF application forms, please go to EGMS at <http://nirvana.ospa.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>, or to NSF at <http://www.nsf.gov/cgi-bin/getpub?nsf003> (For help, call the EGMS help Line at 612.624.1600.)

For funding searches

Please contact the Office of the Vice President for Research 612.625.7585; facgrant@gold.tc.umn.edu <http://www.research.umn.edu/research.html>.

To link directly to the web sites listed, go to the *Research Review* web site at <http://www.ospa.umn.edu/resrev.htm>.

Agency for Health Care Policy and Research

* Health Disparities

For interdisciplinary and multicomponent research on racial and ethnic disparities in health that can be reduced by improving organization, delivery, and financing of health services.

Funds are available in the amount of \$4.4 million for two to four awards.

An optional letter of intent is requested by **December 22**; full proposals are due **January 21, 2000**. Go to <http://grants.nih.gov/grants/guide/rfa-files/RFA-HS-00-003.html>.

Department of Agriculture Rural Utilities Service

* Distance Learning and Telemedicine

Grants and loans to fund distance learning and telemedicine projects servicing rural America.

Grant applications are due **March 17, 2000**; loans, and combination loans and grants may be submitted at any time up to **September 30, 2000**. Go to <http://www.usda.gov/rus/dlt/dlml.htm>.

Department of Education

* Bilingual Education

To develop and implement new comprehensive, coherent, and successful bilingual education or special alternative instructional programs for Limited English Proficient (LEP) students, including programs of early childhood

education, kindergarten through twelfth grade education, gifted and talented education, and vocational and applied technology education.

Approximately 147 awards will be made ranging from \$100,000 to \$175,000.

The submission deadline is **January 7, 2000**. Go to <http://www.access.gpo.gov/nara/index.html>.

* Field-Initiated Studies

Grants to conduct education research in which topics and methods of study are generated by investigators. Collaborative research is encouraged.

The application deadline is **February 16, 2000**. For further information contact Delores Monroe 202.219.2229, Delores_Monroe@ed.gov. Go to <http://www.ed.gov/pubs/edpubs.html>.

* Rehabilitation Research and Training Center

To establish a center for the rehabilitation of minorities with disabilities. A pre-application meeting will be held on December 13 in Washington, D.C. to discuss the funding priority. Alternative arrangements will be made to accommodate interested parties unable to attend the pre-application meeting.

Applications are due **February 4, 2000**. For further information contact Delores Watkins, 202.205.9195, Delores_Watkins@ed.gov. Go to <http://www.ed.gov/pubs/edpubs.html>.

Department of Energy

* Experimental and Computational Structural Biology

Research is sought for experimental and computational biological studies on the structural biology of proteins involved in DNA repair or in bioremediation.

Multiple grants up to \$300,000 per year may be awarded.

Applicants are encouraged to submit a brief pre-application by **January 12, 2000**. The full proposal deadline is **May 2, 2000**. Go to <http://www.sc.doe.gov/production/grants/grants.html>.

* Grants and Cooperative Agreements

DOE reconfirms its interest in receiving grant applications for basic energy sciences, high energy physics, nuclear physics, computational and technology research, fusion energy sciences, and biological and environmental research.

Approximately \$400 million is available.

Applications may be submitted at **any time**. Go to <http://www.sc.doe.gov/production/grants/grants.html>.

* Renewable Energy and Energy Efficiency

Grants and cooperative agreements for information dissemination, public outreach, training, and related technical analysis and technical assistance activities involving renewable energy and

(continued from previous page)

energy efficiency. Areas of interest include wind, photovoltaic, hydrogen, and bioenergy technologies.

Due dates for the various program areas are staggered. Go to <http://www.pr.doe.gov/solicit.html> or <http://doe-iips.pr.doe.gov>.

Department of Commerce National Oceanic and Atmospheric Administration

- * Graduate Fellowships in Population Dynamics, and Marine Resource Economics

Two new graduate fellowship programs in 1) population dynamics, and 2) marine resource economics. Applications are made through a state Sea Grant Program. In Minnesota, call 218.726.8106.

Applications must be received by **February 15, 2000**.

National Science Foundation

- * Alan T. Waterman Award

NSF invites nominations for an award presented annually to an outstanding young researcher in any field of science or engineering funded by NSF.

The deadline for nominations has been extended to **December 31, 1999**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf99134>.

- * Centers for Teaching and Learning

The pilot for a wide-ranging, research-based program to address critical issues in the K-12 instructional workforce through the creation of Centers for Teaching and Learning.

Funding in the amount of \$6 million is available to fund two to three awards.

A letter of intent is requested by **January 20, 2000**; full proposals are due **March 1, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0013>.

- * Research Infrastructure Program

The Computer and Information Science and Engineering (CISE) Directorate is providing funds to strengthen experimental facilities in a variety of environments supported by CISE. Only one proposal may be submitted for a project at a single university; cost sharing is required.

A letter of intent is requested one month before the deadline. The submission deadline is **January 25, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf005>.

- * Undergraduate Mentoring in Environmental Biology

To provide support for talented undergraduate students to gain research experience and an enriched educational environment in environmental biology.

At least three awards will be made. The application deadline is **January 26, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf008>.

- * Advanced Technologies for Housing

To improve the quality, affordability, durability, environmental performance, and energy efficiency of today's new and existing homes.

Approximately twelve awards will be made; a total of \$1.5 million is available.

The application deadline is **January 27, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf004>.

- * Engineering Microsystems

To stimulate fundamental research that will enable the development of advanced engineering micro-systems involving nonelectronic processes and their integration with electronics. The initiative emphasizes exploration of nonelectronic processes at the micro- and nanoscales, architectural and design issues of engineering micro-systems, materials and layering problems, rapid prototyping, and novel applications. Nontraditional approaches are encouraged.

A total of \$8 million is available to fund 12-15 awards.

A pre-proposal is requested by **February 14, 2000**; full proposals are due **June 5, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0015>.

- * Earth System History

To understand the natural variability of the Earth system through records preserved in geo-biologic archives and to contribute to a comprehensive understanding of climate change with annual to millennial resolution, including the forcing mechanisms, interactions, and feedbacks among its components.

Annual awards ranging from \$20,000 to \$1 million per year; 30-50 new awards will be made.

The submission deadline is **February 14, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0011>.

Department of State

- * Moscow State University Project

To assist the Institute of Public Administration of Moscow State University in developing graduate programs in the field of public policy that meet international standards for instruction and research.

Up to \$500,000 will be awarded for up to two years.

The application deadline is **March 15, 2000**. Go to <http://e.usia.gov/education.rfps>. The reference number is ECA/AS/U-00-07.

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NIH, USDA; misc federal (grants only)	Sue Marshall	624.4121 marsh068@tc.umn.edu
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NIH; USDA; HUD; Peace Corps; FAA	Debb Grove	626.0270 grove020@tc.umn.edu
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St. of MN, governments	Amy Levine	626.7441 amy-l@tc.umn.edu
St. of MN, governments	Faith Mrutu	626.8265 faith@tc.umn.edu
Business and industry, Medical School	Judy Volinkaty	624.3317 j-voli@tc.umn.edu
Business and industry, Medical School	Pamela Cherry	624.0035 cherr006@tc.umn.edu
Business and industry, health sciences	Gary Gillet	624.5571 gille013@tc.umn.edu
Business and industry, health sciences	Chris Coyne	626.8267 coyne003@tc.umn.edu
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Software licensing	Jim Hildebrand	624.9568 hilde017@tc.umn.edu
Technology licensing	Beth Trend	626.9293 btrend@tc.umn.edu
Technology transfer coordinator (Sota Tec Fund)	Fred Janzen	625.8826 janze011@tc.umn.edu
Director , technology licensing (health sciences)	Michael F. Moore	624.9531 moore045@tc.umn.edu
Technology licensing	Susan Patow	624.3966 patow001@tc.umn.edu
Technology licensing	Paul Korathu	624.8205 korat001@tc.umn.edu
Technology transfer liaison	TBA	@tc.umn.edu
Indirect Cost, Effort Certification		
Indirect cost and other rate development	Steve Bradley	626.9895 bradl011@tc.umn.edu
Effort help line	612.625.7824	effort@tc.umn.edu
Information Services		
MIS coordinator	TBA	624.6085 @tc.umn.edu
<i>Levels & Trends</i> and proposal and award data questions	Mary Bendtsen	624.0583 mbendtse@tc.umn.edu
Duluth, Office of Research & Technology Transfer		
Sr. grant and contract administrator	Jim Loukes	218.726.7583 jloukes@ub.d.umn.edu
Morris, Grants Development , http://www.mrs.umn.edu/services/grants		
Director	Tom Mahoney	320.589.6462 mahoneyt@mrs.umn.edu
related numbers		
Sponsored Financial Reporting , fax: 612.626.032; web: http://www.sfr.umn.edu		
Manager	Joan Donaldson	624.6026 j-dona@sfr.umn.edu
Supervisor, Vol health, foundations, ag assns, St. of MN, other private	Sue Paulson	624.5007 spaul@sfr.umn.edu
Supervisor, industry, NSF, subcontracts	Kerry Marsolek	624.8353 kerry@sfr.umn.edu
Supervisor, NIH, USDE	Pat Healy	624.7033 healy003@sfr.umn.edu
Supervisor, other federal	Susan Harris	624.7850 harri140@sfr.umn.edu
Research Subjects' Protection Programs , fax 612.626.6061; web: http://irb@umn.edu / http://iacuc@umn.edu		
Director	Moira Keane	626.5654 keane002@tc.umn.edu

Instructions on Changing Addresses

SPA cannot change the faculty mailing list. It is a list we buy monthly.

(Faculty mailing labels are those with a string of seven numbers printed above the addressee's name).

This list is generated by Human Resources and changed in your department.

For faculty-list changes, please call your departmental payroll or Human Resources coordinator.

For changes regarding *other* labels (no numbers above the name), please complete the following:

Change Name: _____

Add Department: _____

Delete Building & Room No.: _____

Mail Delivery Code (if on campus): _____

City, State, Zip (if off campus): _____



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Minneapolis, Minnesota 55455-2070

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Research Review



Sponsored Projects Administration
Patents and Technology Marketing
Oversight Analysis and Reporting

January 2000

Volume XXIX, Number 7
<http://www.ospa.umn.edu/resrev.htm>

Administration and Conduct of Sponsored Work

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Awards, Publications, and Honors

<http://www.ospa.umn.edu/awards.htm>, or
<http://www.ospa.umn.edu/publications.htm>

Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of the month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, erick210@tc.umn.edu.

SPA Teams with Arthur Andersen to Improve Processes

Sponsored Projects Administration (SPA) staff and staff from the consulting firm Arthur Andersen kicked-off Project SPA - Implementing Quick Hit Improvements last month. The goal of the project is to help SPA with its mission "... to assist faculty and other University of Minnesota employees and students in pursuing sponsored research, training, and public service."

University officials decided to start this project as a result of assessments done by Arthur Andersen that focused on SPA's business processes, enabling technology, human resources, organizational structure, and performance measures. The general conclusion of the assessments was that although progress had been made to improve performance, several processes critical to meeting the needs of the research community need to be improved.

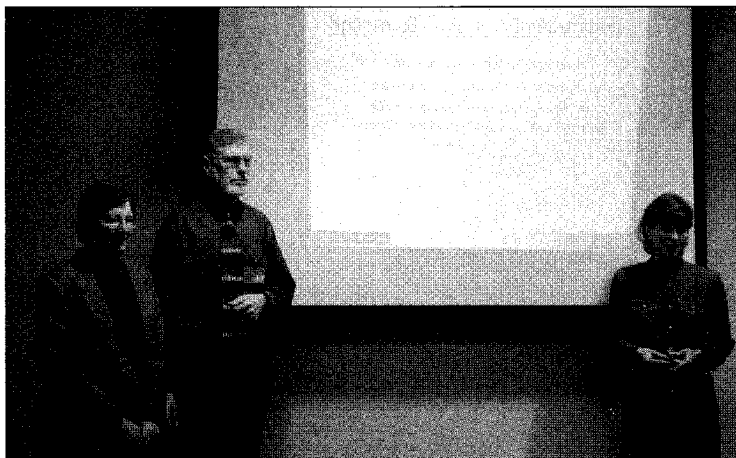
Comments by University administrators stress the significance of Project

SPA and show strong support. "It's important that we dedicate the resources necessary to complete this project and to the Sponsored Projects Administration so we can serve the faculty, staff, and students more effectively," said Christine Maziar, vice president for research and dean of the graduate school. "This project is a key part of the Sponsored Projects Management Model and its successful and timely completion will help our standing with sponsoring agencies like the National Institutes of Health as well as the faculty and academic departments we serve," said Maziar.

The project will run approximately 12 weeks and will concentrate on implementing quick-win opportunities in four areas including:

- Recruitment and Personnel - performing a workload analysis and improving the process for recruiting and retaining talented staff

(continued on page 3)



Winifred A. Schumi, Ed Wink, SPA, and Laura Yaeger, Arthur Anderson

RESEARCH REVIEW

Volume XXIX, Number 7

January 2000

Editor: Bruce Erickson

Editorial Assistant: Tove Jespersen

Associate Vice President: Ed Wink

Research Review is a monthly publication of the office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 450 Gateway Building, 200 Oak Street SE, Minneapolis, MN 55455-2070, or call Bruce Erickson, 612.625.2354, erick210@tc.umn.edu, or Tove Jespersen 612.624.006, tove@tc.umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New provisional rates effective Fall, 1999

TA, RA, AF: standard of gross salary	\$5.13/hr	+	7.6%
TA, RA, AF: advanced master's or Ph.D.	\$.93/hr	+	7.6%
Summer session semester TA, RA, AF	—		7.6%
Summer session TA, with tuition	\$9.68/hr	+	7.6%
Summer session TA, without tuition	—		7.6%
Professional program assistant	—		7.6%
Dental fellow *	\$3.35/hr		—
Medical fellow *	\$2.57/hr		—

To the rates listed above, add 7.7% to the 7.6% when a graduate student is enrolled for fewer than 3 credits, or less than 1 credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. This is a change from previous years.

Other Job Classes

	Civil Service	Academic	Post-doc class #9546
7/1/98 - 6/30/99	25.6%	27.1%	13.9%
7/1/99 - 6/30/00	24.4%	27.6%	14.2%
7/1/00 - 6/30/01	27.9%	27.4%	14.3%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009.

Complete details of fringe benefit rates for all classes of UM employees are available at www.fpd.finop.umn.edu/groups/ppd/documents/rates/fringe1999_2000.cfm.

Rate changes will be reflected in this section.

Facilities & Administrative (F&A) (Indirect Cost) Rates

The rates listed to the right come from the University's most recent F&A/indirect cost agreement, dated *November 2, 1999*. This date should be used where required on applications.

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration, 612.624.5599. If you have questions on F&A/indirect cost rate development, please call Steve Bradley, 612.626.9895.

Research (MTDC base)

On-campus	48.00%	FY 2000
	48.50%	FY 2001-03
Off-campus*	26.00%	
SAFL on-campus	59.00%	
SAFL off-campus	26.00%	
Hormel on-campus	50.00%	
Hormel off-campus*	26.00%	

Other Sponsored Activity (MTDC base)

On-campus	32.00%
Off-campus*	26.00%

Instruction (MTDC base)

On-campus	52.00%
Off-campus*	26.00%

MTDC (Modified Total Direct Cost):

Total direct cost minus: graduate student fringe benefits, equipment, capital expenditures, charges for patient care, tuition remission, rental costs of off-site facilities, scholarships, and fellowships, as well as the portion of each subgrant and subcontract in excess of \$25,000.

* A project is considered off-campus if more than 50 percent of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University.

University Negotiates New Facilities and Administrative Rates with Federal Auditors

Sponsored Projects Administration (SPA) is pleased to announce the completion of negotiations of a new four-year Facilities and Administrative (F&A)* Rate Agreement, dated November 2, 1999, with the federal Department of Health and Human Services' Division of Cost Allocation. The new rates, as reflected on page two of the *Research Review*, will improve the reimbursement the University receives for the actual F&A costs it incurs during the performance of work on sponsored agreements. SPA staff estimate that these new rates will yield an additional four to five million dollars over the life of the multi-year agreement.

The new rate agreement encompasses four fiscal years from 2000 through 2003. Specifically, the On-campus Research rate will increase from its current 47% level to 48% for the remainder of fiscal year 2000 and to 48.5% for fiscal years 2001 through 2003.

The sponsored On-campus Other Sponsored Activities (OSA) rate will

move from the current 35% to 32% for the entire four year period, while sponsored On-campus Instruction will remain at 52%. Also, the St. Anthony Falls Hydraulic Laboratory rate will increase from 54% to 59% and the Hormel Institute will remain at the 50% level. The Off-campus rate will stay at the current 26% level for all sponsored projects.

The modest 1.5% increase in the On-campus Research rate must be interpreted within the context of the very difficult nation-wide negotiation environment currently present. Several years ago, the federal Office of Science and Technology suggested that university F&A rates be lowered at least 10% (even if institutions could document higher levels of incurred cost in F&A Rate Proposals). Federal cognizant agencies have implemented this directive through stringent negotiations and more restrictive interpretations of federal regulations (i.e., OMB Circular A-21, *Cost Principles for Educational Institutions*). There are, however, indications that federal agencies are begin-

ning to awaken to the understanding of the damage that such a stance inflicts on the nation's research infrastructure.

These rates become effective immediately and should be utilized when budgeting for new or competitive renewal proposals initiated after November 2, 1999. Non-competitive Research continuation or supplement proposals will continue using the rate (e.g., 47%) in effect at the time of the associated awards during their competitive segment cycle. Federal regulations require fixed rates over the life of a sponsored agreement and define "life" as each new competitive segment (i.e., the period of years approved by the funding agency at the time of award, usually three to five years). These regulations also permit a "split" rate application during a competitive segment (i.e., initial use of 48% rate, then movement to the 48.5% rate in later budget periods).

Similarly, OSA new or competitive renewal proposals submitted after November 2, 1999 must use the new 32% rate. However, OSA non-competitive continuation or supplement proposals must utilize the rate in effect at the time of the award (e.g., 35%) if these awards were received prior to November 2, 1999. Federal rules allow institutions to recover costs at the rates in effect at the time of award. Finally, note that Instruction activities are not affected since the rate remains unchanged.

If you have questions, please call your grant administrator.

Project SPA

(continued from page 1)

- Training - developing a curriculum of training aligned with competencies and promoting standardized practices and procedures
- Business Processes - simplifying and standardizing the award set-up process, award acceptance and negotiation process, negotiation and oversight of subcontracts
- Technology - organizing and coordinating the future development and implementation plans for the Electronic Grants Management System (EGMS)

"This project will help us simplify and standardize our procedures so we can increase the level of service provided to the research community," said Win Ann Schumi, assistant vice president for research and interim associate director for operations in SPA.

Arthur Andersen brings its knowledge, history, and expertise to this project from its experience working with other premier research institutions such as the University of Michigan, Cornell University, University of Illinois, and University of Pennsylvania. "We plan to work closely with SPA management and staff and perform a lot of the detail work for this project so they can continue serving the research community," said Laura Yaeger, engagement partner from Arthur Andersen.

* OMB Circular A-21 definitions changed the new terminology to "Facilities & Administrative Costs" from "Indirect Costs".

Certified Approver (CA):

Financial/Administrative Approval of Transactions on Sponsored Projects

Requires approval by a Departmental Grant Accountant (DGA) or CA
 Requires approval by a CA

< \$1,000

> = \$1,000

Purchase of Goods from External Vendors

POT/RX	<input checked="" type="checkbox"/>
PV)/PVA without an approved POT/RX	Such transactions should not occur, but if they do, CA should review them.
PV/PVA with an approved POT/RX	Neither CAs nor DGAs need to approve these documents if the request for payment is within tolerance of the purchase order recorded in the ledger.
Purchasing Card	Purchasing card should not be used for sponsored purchases > \$1,000.

Purchases from Internal Vendors

Internal Purchase Order	<input checked="" type="checkbox"/>
IV/JV without an approved internal purchase order	Such transactions should not occur, but if they do, a CA should review them.
IV or JV with an approved internal purchase order	Neither CAs nor DGAs need to approve these documents if the request for payment is within tolerance of the internal purchase order recorded in the ledger.

Travel

ETR/PV	<input checked="" type="checkbox"/>
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Non-Salary Cost Transfers

IX moving charges onto a sponsored project	<input checked="" type="checkbox"/>
IX removing charges from a sponsored project	<input type="checkbox"/>

Salary Cost Transfers

Type 38 JV within the effort certification reporting period	<input type="checkbox"/>
Type 38 JV outside the effort certification reporting period	<input checked="" type="checkbox"/>

Payments on Subcontracts and Contracts for Professional Services

Document Key	To be determined.
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POT: Department Purchase order
 RX: Central Requisition Supplement
 PV: Green Label
 PVA: Payment Voucher Authorization
 IV: Intra-Institutional Voucher
 JV: Journal Voucher
 ETR: Employee Travel Reimbursement
 PV: Payment Voucher for Travel Expenses
 IX: Expense Transfer

These thresholds are projected to become effective January 10, 2000. Departments without Certified Approvers should continue to follow the previous document review procedures with the new thresholds.

If you have questions about the Certified Approver Program, please e-mail Jennifer Maybery in the Office of Oversight, Analysis, and Reporting (OAR) at maybery@tc.umn.edu.

Certified Approver Examination Schedule

January 2000 - June 2000

Preregistration Required

Exam times:

Part 1: 8 a.m., 10 a.m., 1 p.m.

Part 2: 9 a.m., 1 p.m.

Rooms will be assigned when registration is confirmed.

Exam schedule current as of November 15, 1999.

Date	Day	Part	Date	Day	Part
January			April		
5	Wednesday	1	3	Monday	2
10	Monday	2	4	Tuesday	1
19	Wednesday	2	11	Tuesday	2
25	Tuesday	1	17	Monday	1
31	Monday	2	25	Tuesday	2
February			May		
2	Wednesday	2	2	Tuesday	1
7	Monday	1	8	Monday	2
15	Tuesday	2	16	Tuesday	2
23	Wednesday	1	23	Tuesday	1
28	Monday	2	31	Wednesday	2
March			June		
1	Wednesday	2	6	Tuesday	2
6	Monday	1	13	Tuesday	1
13	Monday	2	19	Monday	2
22	Wednesday	1	20	Tuesday	2
28	Tuesday	2	28	Wednesday	1

Update

Certified Approver Implementation

In December the Office of Oversight, Analysis, and Reporting (OAR) sent packets of information regarding the Certified Approver Program to associate deans for research. The packet contains a general description of the program, resources, policies, and exam information including the exam schedule and registration information.

A memo included in the packet notes that colleges and departments can begin using the Certified Approver Program if they have:

- Employees who have passed the exam
- A conflict resolution plan on file with the Office of the Vice President for Research

- The department head nominated the potential certified approver for the department or college

All colleges and departments must meet these three requirements by July 1, 2000.

After departments and colleges appoint certified approvers, SPA staff will no longer approve transactions that certified approvers could approve. University officials expect complete implementation of the Certified Approver Program by July 1, 2000.

To register for the certified approver exam, complete the registration form that is part of the information packet. Attendance at any class is not required prior to taking the exam.

New Threshold for Routing Documents to SPA

Important Notice

The University is raising the threshold for documents requiring SPA's approval from \$500 to \$1,000. This change is projected to take effect January 10, 2000. The new limit applies to both hardcopy and FormsNirvana documents and both will reflect these changes when the new limit becomes effective.

SPA staff will continue to review documents over \$1,000 until certified approvers are in place. Departments will be provided with more detailed information when it becomes available.

Facilities and Administrative Cost Waivers - New Policy

The Office of the Vice President for Research has written a new policy for obtaining facilities and administrative (indirect) cost waivers. The policy was developed at the request of auditors who found that there were no clear guidelines to determine whether or not a waiver is required.

The Office of the Vice President for Research and Sponsored Projects Administration worked together to develop the policy and procedure.

The procedure explains when a waiver does not need to be obtained, for instance when the sponsor's application instructions mandate a particular rate or base. The procedure lists circumstances when a waiver must be obtained, such as when a project is being transferred from another institution. It then outlines how to request a waiver and how grant administrators will handle proposals that do not have attached waivers. The new policy may be found at http://www.fpd.finop.umn.edu/groups/ppd/documents/policy/Cost_Waivers.cfm.

Principal Investigator Educational Program Update

In November 1999, the University of Minnesota Board of Regents passed a policy entitled *Principal Investigator Eligibility On Sponsored Projects* (<http://www.umn.edu/regents/policies/academic/PrincipalInvestigator.html>). This policy requires PIs to participate in an educational program on the responsible conduct of research before Sponsored Projects Administration (SPA) can release funds to the PI for expenditure.

This policy precedes a federal policy requiring institutions to provide education in the responsible conduct of research for all staff engaged in research funded by U.S. Public Health Service. See the U.S. Department of Health and Human Services web site at <http://www.hhs.gov/news/press/1999pres/991022.html>.

A University Senate policy entitled *Education in the Responsible Conduct of Sponsored Research and Grants Management Policy* (<http://www.umn.edu/usenate/policies/grantsmgmt.html>) charges the Office of the Vice President for Research and Dean of the Graduate School with defining the needs of the University community to meet this requirement. This policy distributes the process of meeting these needs across "three advisory committees, one for each of the major constituencies having organizational and functional responsibility on projects."

A committee of faculty members was constituted last year and charged with defining the curriculum and topics to assist University faculty in meeting the requirement. These topics include:

- History and Values Relating to Research and Scholarship
- Social Responsibility and Reporting Misconduct
- Conflict of Interest
- Intellectual Property
- Authorship
- Plagiarism/Peer Review
- Data Management

- Environmental Health and Safety
- Animal Subjects
- Human Subjects
- Funding/Fiscal Management/Effort Certification

This curriculum is consistent with topics defined by an earlier committee of the Graduate School charged with defining topics appropriate for graduate education.

The faculty committee also developed a course guide including learning objectives, relevant University and federal policies, case studies and references, and an outline of content. Because the University is a research institution, all faculty will be expected to have a general knowledge of policies and guidelines within each of these areas.

However, different levels of information will be provided on research-specific topics such as research subjects and environmental health and safety.

The University is implementing the following three educational programs for faculty to meet the requirement:

1. **Faculty who have completed a University-sponsored program in responsible conduct of research.** Despite the fact that many faculty have participated in a general program on responsible conduct of research offered by the Medical School and the Office of the Vice President for Research (records are available confirming attendance), significant changes are occurring in how the University manages sponsored projects. Therefore, these faculty will be required to attend an educational program focusing on management of research dollars and other new University and federal policies such as conflict of interest and research misconduct.
2. **New faculty.** Policies vary by institution, therefore it's important that new members of the University be educated in policies governing members of the University of Min-

nesota early in their academic career. This educational program will contain the full curriculum defined earlier and help new faculty understand the University of Minnesota research culture.

3. **Continuing education as a series of University-wide forums.** One forum will be offered each semester. The goals of continuing education are to maintain a level of awareness of policies and procedures within a module and acquire understanding of new perspectives and policies or changes in existing policies. The second goal acknowledges the dynamic aspect of policies and expectations concerning responsible conduct of research. These forums will increase the visibility of the institutional commitment to the importance of education in the responsible conduct of research.

Implementation of these programs will begin in February 2000. The scope of the educational agenda and scheduling are being determined. Estimates suggest that approximately 3,000 faculty will need to receive either educational program number one or number two. With this large number, the University will have the opportunity to offer programs multiple times during a day as well as offer programs with case studies that are specific to disciplines.

The Center for Human Resource Development will maintain a database to record participation of individuals in the various educational programs. The University will use this database to determine whether or not staff have met the requirements to receive sponsored funds.

The February issue of the *Research Review* will publish the times the educational programs will be offered and where staff can find this information on the web.

New Policy

Research Performed at Fairview or Employing Fairview Resources

Research performed by University faculty and staff at Fairview sites, or employing Fairview resources (laboratory, other ancillary services, personnel) is an activity involving both the University and Fairview. These projects require the coordination of activities between institutions for the successful performance of the research project. Therefore, Academic Health Center (AHC) administrators and others have established the following new policy.

University faculty and staff conducting research projects at Fairview performance sites or involving Fairview resources must route their projects through the AHC Office of Research. The AHC Office of Research, in conjunction with the Fairview Research Office, will:

- evaluate the project for the extent of use of Fairview resources;
- ascertain that the research budget properly identifies the use and costs of all such resources and;
- advise the investigator regarding establishment of the accounts, subcontracts and purchase orders required by University departments, Sponsored Projects Administration, and Fairview Research Office.

If AHC Office of Research staff identify issues regarding use of Fairview resources, they will work with the investigator and Fairview Research Office to address the issues before the project is initiated.

This policy is effective for the following departments on the following dates:

February 1, 2000: Medicine

March 1, 2000: Dermatology and Neurology

April 3, 2000: Surgery, Anesthesiology, Family Practice, Laboratory Medicine and Pathology

May 1, 2000: Pediatrics, Neurosurgery, Obstetrics and Gynecology, Ophthalmology

June 1, 2000: Orthopedic Surgery, Otolaryngology, Physical Medicine and Rehabilitation, Psychiatry, Radiology, Therapeutic Radiology, Urologic Surgery, Basic Science Departments

July 3, 2000: School/College of Dentistry, Nursing, Pharmacy, Public Health

Procedure:

See <http://www.ahc.umn.edu/rso/fv.html> for complete instructions.

Information sessions will be held for each department prior to that department's implementation date.

What's New in Grants Management

An index to changes and announcements

January 2000

(month 7 of UM fiscal year 2000)

<u>SPA Update 0011:</u>	New Policy on Requesting Facilities and Administrative (Indirect) Cost Waivers
<i>Issued:</i>	December 1999 <i>Supersedes:</i> N/A <i>Effective:</i> December 1999
<i>Action to Take:</i>	See the article on page eight of the January <i>Research Review</i> or go to http://www.fpd.finop.umn.edu .
<u>SPA Update 0012:</u>	New Academic Health Center Policy on Research Performed at Fairview or Employing Fairview Resources
<i>Issued:</i>	January 2000 <i>Supersedes:</i> N/A <i>Effective:</i> Varies. See policy for dates
<i>Action to Take:</i>	See the article on page seven of the January <i>Research Review</i> or go to http://www.ahc.umn.edu/rso/fv.html .
<u>SPA Update 0013:</u>	New Facilities and Administrative (Indirect) Cost Rates
<i>Issued:</i>	December 1999 <i>Supersedes:</i> March 1, 1999 Agreement <i>Effective:</i> November 2, 1999
<i>Action to Take:</i>	See related article on page three of the January <i>Research Review</i> or go to http://www.ospa.umn.edu/rr/00-01/x08idcrates.htm .
<u>SPA Update 0014:</u>	New Threshold for Routing Documents to Sponsored Projects Administration
<i>Issued:</i>	January 2000 <i>Supersedes:</i> N/A <i>Effective:</i> Projected January 10, 2000
<i>Action to Take:</i>	See the article on page five of the January <i>Research Review</i> or go to http://www.ospa.umn.edu/rr/00-01/x10documents.htm

National Science Foundation Supplemental Funding

In unusual circumstances, small amounts of supplemental funding and up to six months of additional support may be requested to assure adequate completion of the original scope of work. The grantee may submit a request for supplemental funding to the cognizant NSF program officer at least two months before funds are needed. Program officers may make decisions regarding whether or not to recommend a small supplement without merit review of the supplemental request.

Requests for larger supplements may require merit review. Such requests should include a brief justification and a budget signed by the principal investigator (PI) and the authorized organizational representative. Supplemental funding requests will not be approved for such purposes as defraying costs associated with increases in salaries or additional indirect cost reimbursement. Grantees should contact the cognizant program officer prior to submitting a request for supplemental funding. (See GPM 264 for additional information on Supplemental Funding requests.)

Requests for supplemental funding may be submitted electronically via the FastLane Notification and Request module. To submit supplemental funding requests via FastLane, PIs should select the "Other" request option, provide the requested information, and then forward to their Sponsored Projects Office (or equivalent) upon completion. Upon review and concurrence, the authorized organizational official will then submit the request to NSF for approval. A paper copy of the NSF Form 1030 (Summary Proposal Budget Form) signed by both the PI and authorized organizational representative should be forwarded to NSF and postmarked within five working days following submission of the supplemental funding request. **Please note that some NSF directorates require**

electronic submission of supplemental funding requests. Please check the cognizant directorate or FastLane web site to see if submission via FastLane is required.

In addition, limited supplemental funds are available for special NSF programs, such as Facilitation Awards for Scientists and Engineers with Disabilities, Research Opportunity Awards, and Research Experiences for Undergraduates. (See Sections V.G- I and the appropriate program brochures.)

—This is an excerpt from the current Grant Proposal Guide NSF 00-2.

Note: per Important Notice No. 123, Working toward a Paperless Proposal and Award System, all Notification and Request Forms must be submitted using FastLane by January 2000.

University of Minnesota Internal Procedures for Supplemental Requests via FastLane

Please follow the guidelines for submitting supplemental requests that are shown in the Grant Proposal Guide, NSF 00-2. **Please note that many divisions now require submission via FastLane (see web site below).** In addition to those requirements, the following items are needed for Sponsored Projects Administration (SPA) staff to process the supplemental request:

- a signed copy of the PRF (proposal routing form, also known as the BA 23)
- a print screen of the FastLane supplemental request
- a copy of the budget page or pages signed by the principal investigator

National Institutes of Health Use of URLs

In NIH Applications, Proposals, or Appendices

Notice OD-00-004

All applications and proposals for NIH must be self-contained within specified page limitations.

Therefore, unless otherwise specified in an NIH solicitation, internet addresses (URLs) *should not* be used to provide information necessary to the review. Reviewers are under *no obligation* to view internet sites; reviewers are cautioned that their anonymity may be compromised when they directly access an internet site.

Inquires about this matter should be directed to Heather Miller, senior advisor to the deputy director for extramural research, 301.402.2246, fax 301.402.3569, millerh@od.nih.gov.

- any other pertinent documentation, such as support letters or Research Experiences for Undergraduates (REU) Project Summary Forms

Upon receipt of all of the above, the budget page or pages will be signed by the organizational representative at SPA. The supplemental request will then be submitted via FastLane. The budget pages and any other pertinent documentation will be faxed instead of mailed.

A chart of FastLane notifications and Requests Requirements by directorate and division is located at: <http://www.fastlane.nsf.gov/a0/notifreq.htm>.

More Information

To generate copies of NIH and NSF application forms, please go to EGMS at <http://nirvana.ospa.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>, or to NSF at <http://www.nsf.gov/cgi-bin/getpub?nsf003> (For help, call the EGMS help line at 612.624.1600.)

For funding searches

Please contact the Office of the Vice President for Research
612.625.7585; facgrant@gold.tc.umn.edu
<http://www.research.umn.edu/research.html>.

To link directly to the web sites listed, go to the *Research Review* web site at <http://www.ospa.umn.edu/resrev.htm>.

Department of Energy

- * Biotechnological Investigations—Ocean Margins Program
Program Notice 00-04

Supporting research involving the use of molecular, biological, and biogeochemical techniques to understand the linkages between carbon and nitrogen cycles (primary production and microbial processes) in ocean margins.

The application deadline is **February 10, 2000**. Go to <http://www.sc.doe.gov/production/grants/grants.html>.

- * Small Business Innovation Research (SBIR)
Small Business Technology Transfer (STTR)

To increase private sector commercialization of technology developed through DOE-supported research.

The application deadline is **February 29, 2000** for both programs. Go to <http://sbir.er.doe.gov/sbir> and <http://sttr.er.doe.gov/sttr>.

- * Production of Ethanol from Biomass

To support research and development proposals that will increase the efficiency or lower the cost of producing and converting biomass to transportation fuels. Three specific areas of interest are biomass feedstock collection and storage, conversion technologies, and pretreatment fundamentals.

Proposals are due **January 31, 2000**. This program is a supplement to another solicitation which may be found at <http://www.eren.doe.gov/golden/solicitations.html>, and which should be reviewed prior to preparation of a proposal.

Department of Justice

- * W.E.B. DuBois Fellowship Program

Funding independently-generated research and ideas with respect to the confluence of crime, justice, and culture in various societal contexts. The National Institute of Justice (NIJ) supports the investigation, analysis, and development of approaches that enhance justice and advance public policy decision making on issues relating to crime, violence, and the administration of justice.

The application deadline is **February 1, 2000**. Go to <http://www.ojp.usdoj.gov/nij/funding.htm> or <http://www.ncjrs.org/fedgrant.htm#nij>.

Department of Agriculture

- * Ecology of Infectious Diseases

Interdisciplinary research on the ecology of infectious diseases in the context of anthropogenic environmental changes such as biodiversity loss, habitat transformation, environmental contamination, climate change, and other influences.

The application deadline is **March 14, 2000**. Go to <http://fundingopps2.cos.com/cgi-bin/getRec?id=46571>.

Shell Oil Company Foundation

- * Departmental Grants

To provide funds to colleges or universities with well developed areas of teaching or research in disciplines critical to the petroleum industry.

Applications are accepted at **any time**. Go to <http://fundingopps2.cos.com/cgi-bin/getRec?id=33709>.

Canyon Research

- * Grants

Supporting the communications field by funding projects including advanced computer-related communications technology, public communications policy, and domestic communications regulatory issues. Grants are normally awarded in the form of a fellowship.

Applications are accepted at **any time**. Go to <http://www.canyonresearch.org/funding/grantmaking.htm>.

Schumann Foundation, Florence and John

✦ Grants

Supporting projects that attempt to invigorate democracy. The foundation's most recent emphasis has been on projects that encourage greater citizen awareness of the influence of private money on public governance. Grants are awarded in three categories: media, effective governance, and environment.

Letters of inquiry are welcome at any time. <http://fundingopps2.cos.com/cgi-bin/getRec?id=8307>.

Bogliasso Foundation

✦ Fellowships

Supporting advanced creative work or scholarly research in archaeology, architecture, classics, dance, film or video, history, landscape architecture, literature, music, philosophy, theater, and visual arts.

Application deadlines are **February 1, 2000** and **May 1, 2000**. Go to <http://www.liguriastudycenter.org/info.htm> and <http://www.liguriastudycenter.org/fellowsh.htm>.

United Cerebral Palsy Research and Education Foundation

✦ Research Grant Program

The foundation provides funding for pilot studies on research in preventing cerebral palsy, and improving the quality of life of persons with cerebral palsy and related developmental disorders. Basic, clinical, and applied research are acceptable.

There are **no deadlines**. Go to <http://www.ucpa.org/html/research/grants.html>

National Science Foundation

✦ Microbial Observatories
NSF 00-21

To support individual investigators or teams to develop and conduct research at a variety of sites dedicated to studies of microbial communities. The long-term goal is to discover previously unknown microbes to describe and characterize microbial diversity, phylogenetic relationships, interactions, and other novel properties in a network of sites.

The application deadline is **March 6, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0021>.

✦ Biocomplexity: Special Competition
2000
NSF 00-22

To understand the nature and dynamics of biocomplexity in the environment, specifically to support integrated research to better understand and model complexity that arises from the interaction of biological, physical, and social systems.

A message of intent is requested by **January 31, 2000**; full proposals are due **March 1, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0022>.

✦ Research on Learning and Education
(ROLE)
NSF 00-17

Supporting research along a four-quadrant continuum that includes 1) brain research as a foundation for research on human learning; 2) fundamental research on behavioral, cognitive, affective, and social aspects of human learning; 3) research on science, mathematics, engineering, and technological (SMET) learning in formal and informal educational settings; and 4) research on SMET learning in complex educational systems.

Preliminary proposals are due **March 1, 2000** and **June 1, 2000**; formal proposals are due **September 1, 2000** and **December 1, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0017>

Department of Commerce National Institute of Standards and Technology

✦ Various Programs

The following programs are offering financial assistance: 1) the Precision Measurement Grants Program; 2) the 2000 Summer Undergraduate Research Fellowships (SURF) in the areas of atomic, molecular and optical (AMO), and radiation physics in Materials Science and Engineering, and in Manufacturing Engineering; 3) the Materials Science and Engineering Grants Program; and 4) the Fire Research Grants Program.

Applicants for Precision Measurement Grants must submit an abbreviated proposal by **February 1, 2000**; full proposals will be requested and are due **May 12, 2000**. Other programs are due **February 15, 2000**, excepting the Fire Research Program which is due **September 30, 2000**. Go to <http://physics.nist.gov/ResOpp/grants/grants.html> or <http://www.surf.nist.gov>.

Consortium for Plant Biotechnology Research, Inc.

✦ 2001 Energy from Biomass
Competition

A preproposal is due **January 25, 2000**. The UM campus contact is Friedrich Sreinc, 612.624.9776; fried@biosci.cbs.umn.edu. Other questions may be directed to Dr. Jean Tuech, Research Grants Coordinator, 912.638.4900; cpbr@gate.net. Go to <http://www.cpbr.org>.

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Sponsored Financial Reporting , fax: 612.626.0321; web: http://www.sfr.umn.edu		
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Director	Moira Keane	626.5654 keane002@tc.umn.edu

Instructions on Changing Addresses

SPA cannot change the faculty mailing list. It is a list we *buy* monthly.

(Faculty mailing labels are those with a string of seven numbers printed above the addressee's name).

This list is generated by Human Resources and changed in your department.

For faculty-list changes, please call your departmental payroll or Human Resources coordinator.

For changes regarding *other* labels (no numbers above the name), please complete the following:

Change Name: _____

Add Department: _____

Delete Building & Room No.: _____

Mail Delivery Code (if on campus): _____

City, State, Zip (if off campus): _____



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Research Review



Sponsored Projects Administration
Patents and Technology Marketing
Oversight Analysis and Reporting

February 2000

Volume XXIX, Number 8
<http://www.ospa.umn.edu/resrev.htm>

Administration and Conduct of Sponsored Work

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Awards, Publications, and Honors

<http://www.ospa.umn.edu/awards.htm>, or
<http://www.ospa.umn.edu/publications.htm>

Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of the month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, erick210@tc.umn.edu.

Open House for the U of M Gateway Building

The University of Minnesota will celebrate the McNamara Alumni Center with open houses on February 11 and 13, 2000.

From 11:00 a.m. to 2:00 p.m. on **February 11**, University administration, faculty, students and staff can:

- see Memorial Hall and the restored 55-foot Memorial Stadium Arch
- explore Heritage Gallery with stories of the University's history and great achievements
- sample lunch at Gateway Café
- tour meeting and tenant spaces
- participate in the ribbon-cutting ceremony at 11:45 a.m.

The **public open house** will run from 9:00 a.m. to 4:00 p.m. on February 13. During that time, visitors can view Memorial Hall and the Stadium Arch, explore Heritage Gallery, enjoy a pancake brunch at Gateway Café until 2:00 p.m., and sit-in on the live morning broadcast of WCCO's "Sports Huddle."

We welcome you to stop by the 4th floor and visit the new home of the Sponsored Projects Administration, Patents and Technology Marketing, and Sponsored Financial Reporting on February 11th.

For more information please call 612.624.5580.

An example of information on display in the Heritage Gallery



Former U of M professor James "Crash" Ryan with his flight data recorder, which he invented.

RESEARCH REVIEW

Volume XXIX, Number 8

February 2000

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Research Review is a monthly publication of the office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 450 Gateway Building, 200 Oak Street SE, Minneapolis, MN 55455-2070, or call Bruce Erickson, 612.625.2354, erick210@tc.umn.edu, or Tove Jespersen 612.624.0061, tove@tc.umn.edu.

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Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New provisional rates effective Fall, 1999

TA, RA, AF: standard of gross salary	\$5.13/hr	+	7.6%
TA, RA, AF: advanced master's or Ph.D.	\$.93/hr	+	7.6%
Summer session semester TA, RA, AF	—		7.6%
Summer session TA, with tuition	\$9.68/hr	+	7.6%
Summer session TA, without tuition	—		7.6%
Professional program assistant	—		7.6%
Dental fellow *	\$3.35/hr		—
Medical fellow *	\$2.57/hr		—

To the rates listed above, add 7.7% to the 7.6% when a graduate student is enrolled for fewer than 3 credits, or less than 1 credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. This is a change from previous years.

Other Job Classes

	Civil Service	Academic	Post-doc class #9546
7/1/98 - 6/30/99	25.6%	27.1%	13.9%
7/1/99 - 6/30/00	24.4%	27.6%	14.2%
7/1/00 - 6/30/01	27.9%	27.4%	14.3%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009.

Complete details of fringe benefit rates for all classes of UM employees are available at http://www.fpd.finop.umn.edu/groups/ppd/documents/rates/fringe1999_2000.cfm.

Rate changes will be reflected in this section.

Facilities & Administrative (F&A) (Indirect Cost) Rates

The rates listed at right come from the University's most recent F&A/indirect cost agreement, dated **December 16, 1999**. This date should be used where required on applications.

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration at 612.624.5599. If you have questions on F&A/indirect cost rate development, please call Steve Bradley, 612.626.9895.

* A project is considered off-campus if more than 50 percent of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University.

Research (MTDC base)

On-campus	48.00%	FY 2000
	48.50%	FY 2000-03
Off-campus*	26.00%	FY 2000-03
SAFL on-campus	59.00%	FY 2000-03
SAFL off-campus*	26.00%	FY 2000-03
Hormel on-campus	50.00%	FY 2000-03
Hormel off-campus*	26.00%	FY 2000-03

Other Sponsored Activity (MTDC base)

On-campus	32.00%
Off-campus*	26.00%

Instruction (MTDC base)

On-campus	52.00%
Off-campus*	26.00%

MTDC (Modified Total Direct Cost):

Total direct cost minus:

- graduate student fringe benefits
- equipment
- capital expenditures e.g., new building construction
- charges for patient care
- tuition remission
- rental costs of off-site facilities
- scholarships, and fellowships
- the portion of each subgrant and sub-contract in excess of \$25,000

For more information on equipment and subgrants and subcontracts in excess of \$25,000, see the April 1999 *Research Review*, or go to <http://www.ospa.umn.edu/resrev.htm>.

Setting New Rates in EGMS

You can now set EGMS to apply F&A (indirect cost) rates by individual budget periods, if necessary. The default rates in EGMS reflect fiscal year 2001 (48.5 percent for on-campus research). If you need to use different rates, please

check "other" and input the rate you need. See the EGMS data entry screen-print below. If you have questions, please call the EGMS helpline at 612.624.1600.

NIH Indirect cost- Budget SubSection

Budget	Personnel	Consultants	Equipment	<input checked="" type="radio"/> Audit
Travel	Pat. Care	A & R	Other	<input checked="" type="radio"/> Show Form
Contract	Supplies			<input checked="" type="radio"/> Main Menu

Budget Subsection has not been audited yet. Calculations may appear incorrect.

Budget Information

Budget Periods		
	Start Date	End Date
Period 1	12/01/2000	11/30/2001
Period 2	12/01/2001	11/30/2002
Period 3	12/01/2002	11/30/2003
Period 4	12/01/2003	11/30/2004

If you need to alter the number of periods for this project, enter it here and press **Change**. Please note that this will require all fields to be re-entered.

Number of Periods:

Change

Default Inflation Rate:

Type of Project **Check Location** On Campus Off Campus

Rate to use: Negotiated Rates
 Other MTDC Base
 Other TDC base

[View Negotiated Rates](#)

If 'Other', indicate rates	
Budget Period	IDC Rate
1	<input type="text"/>
2	<input type="text"/>
3	<input type="text"/>
4	<input type="text"/>

Use this space to justify a change to the default inflation rate or use of other indirect rates. Also use this space to insert a budget summary (optional).

Next

Certified Approver Program in Full Swing

During January, the first official certified approvers were appointed and have begun functioning in that role. This means that a certified approver can process certain financial documents on sponsored accounts that previously required review and approval by grant administrators in Sponsored Projects Administration.

The Office of Oversight Analysis and Reporting (OAR) manages the Certified Approver Program. Questions about the program can be directed to 612.625.9057.

Associate Deans for Research are actively involved in the Certified Approver Program and each college is working on implementing and preparing a conflict resolution plan. This plan must be filed with the OAR office

prior to getting approval to have certified approvers active their college. Communication with your Dean's office regarding this program is an important step in the process.

Individuals interested in becoming a certified approver for their department should:

1. Pass the certified approver tests. This is a two-part test. Specific classes are not required to take the tests, however, a number of related classes are offered by Training Services. These resources as well as a list of rules and regulations regarding sponsored project administration are available. A schedule of testing times is available at <http://www.oar.umn.edu>

2. Have your department head send a letter of nomination to the Associate Dean for Research in your college.
3. Have the Associate Dean for Research appoint you as a certified approver and send that notification to Winifred A. Schumi, Assistant Vice President for Research, OAR, 429 Johnston Hall.

Implementation of this program across the University is expected to be complete by June 30, 2000.

Further information about the Certified Approver Program and a form to register for the tests is available at the OAR office website, <http://www.oar.umn.edu>.

Certified Approver Examinations

Exam Schedule (on the web at <http://www.oar.umn.edu/CA/schedule.htm>)

February 2000 - June 2000

Preregistration Required

Class times:

Part 1: 8 a.m., 10 a.m., 1 p.m.

Part 2: 9 a.m., 1 p.m.

Exam schedule current as of February 2000

Locations are subject to change

<u>Date</u>	<u>Day</u>	<u>Part</u>	<u>Hours</u>	<u>Room</u>	<u>Date</u>	<u>Day</u>	<u>Part</u>	<u>Hours</u>	<u>Room</u>
February					May				
2	Wednesday	2	8, 10	215 Donhowe	2	Tuesday	1	8, 10, 1	186 HHH
7	Monday	1	7, 10, 1	555 Diehl	8	Monday	2	9-12; 1-4	186 HHH
15	Tuesday	2	9-12; 1-4	555 Diehl	16	Tuesday	1	9-12; 1-4	4-101 BSBE
23	Wednesday	1	8	215 Peik	23	Tuesday	1	8, 10, 1	4-101 BSBE
			10	225 Peik	31	Wednesday	2	8-12; 1-4	4-101 BSBE
			1	155 Ford	June				
28	Monday	2	9-12; 1-4	555 Diehl	6	Tuesday	2	9-12; 1-4	4-101 BSBE
March					13	Tuesday	1	8, 10, 1	4-101 BSBE
1	Wednesday	2	9-12; 1-4	215 Donhowe	19	Monday	2	9-12; 1-4	215 Donhowe
6	Monday	1	8, 10, 1	555 Diehl	20	Tuesday	2	9-12; 1-4	4-101 BSBE
13	Monday	2	9-12; 1-4	To be determined	28	Wednesday	1	8, 10, 1	215 Donhowe
22	Wednesday	1	8, 10, 1	110 St. Paul Student Center					
28	Tuesday	2	9-12; 1-4	555 Diehl					
April									
3	Monday	2	9-12, 1-4	215 Donhowe					
4	Tuesday	1	8, 10, 1	1-250 BSBE					
11	Tuesday	2	9-12; 1-4	To be determined					
17	Monday	1	8, 10, 1	215 Donhowe					
25	Tuesday	2	9-12; 1-4	To be determined					

Principal Investigator Educational Requirements

The Board of Regents policy, *Principal Investigator Eligibility on Sponsored Projects* requires PIs to participate in an educational program on the Responsible Conduct of Research (RCR).

The curriculum outlined in the January issue of the *Research Review* has been divided into a series of workshops:

- *RCR, part 1*, covers topics such as social responsibility, reporting misconduct, authorship, and management of research data.
- *RCR, part 2*, covers fiscal responsibilities, conflict of interest, and intellectual property.
- Additional topic-specific workshops include care and use of animals, protecting human subjects, and issues in environmental health and safety.

New faculty or current PIs who have not attended an RCR workshop *must* attend both parts of the RCR workshop, and any additional topic specific workshop that is appropriate to their research within the first 12 months of

their appointment, or prior to receipt of additional external funds.

Current PIs and faculty who attended an RCR workshop in the past few years, *must* attend RCR part 2 prior to receipt of additional external funds.

Because of the number of principal investigators who must attend, the *RCR – part 2* workshop will be offered approximately three times each month and *RCR – part 1* will be offered about once a month. The schedule that follows is a partial listing of the workshops; additional sessions at other locations will be printed in subsequent issues of the *Research Review* and are available on the internet at <http://research.umn.edu/training>. Our thanks to the faculty who participated in the survey to identify times and locations on the Twin Cities' campuses. Coordinate campuses will have access once per month through interactive TV, or a local presentation.

Responsible Conduct of Research (RCR) – part 1

<u>Day & Date</u>	<u>Time</u>	<u>Location</u>
Wed, Mar 8	8:30 – 11:30 a.m.	Nolte 140
Thur, Mar 30	9:30 – 12:30 p.m.	Moos T 5-125, ITV

Responsible Conduct of Research (RCR) – part 2

<u>Day & Date</u>	<u>Time</u>	<u>Location</u>
Wed, Feb 23	8:00 – 11:00 a.m.	BSBE 2-101
Thur, Mar 2	1:00 – 4:00 p.m.	Gateway Ski-U-mah
Thur, Mar 9	8:00 – 11:00 a.m.	BSBE 2-101

To register, e-mail chr@tc.umn.edu. or call 612.625.6340.

Please provide your name, department, college, e-mail and campus addresses, phone number, and which workshop you wish to attend.

Update: Project SPA

Sponsored Projects Administration (SPA), with assistance from the consulting firm Arthur Andersen LLP, continues to make progress on Project SPA – Implementing Quick Hit Improvements. In the January 2000 issue of the *Research Review*, we provided an overview of the four main areas of the project. Following are some of the key accomplishments in those areas.

Technology

Members of the Project Team have:

- completed a Development Feature List and Development and Implementation Plan for the EGMS Internal Processing Module.
- structured supporting teams critical to the continued development of this Module. The roles and responsibilities of those teams, as well as specific team members, have been identified and SPA is moving forward with the development of this module.

Business Processes

Members of the Project Team have:

- completed a current process assessment for the processes included in this project: award set-up, acceptance, and negotiation, and negotiation and oversight of subcontracts.
- helped identify opportunities to simplify and standardize the current processes.
- helped identify opportunities to enhance communication and training related to business processes.

Recruitment and Personnel

Members of the Project Team have:

- distributed a work effort survey that was completed by SPA personnel. Team Members are currently analyzing the results of this survey.

Training

Members of the Project Team have:

- developed a draft training matrix for SPA personnel.

How SPA Can Help Faculty with NSF Submissions

- The GAs at Sponsored Projects Administration (SPA) need to be given access to full or partial FastLane proposals at least three (3) working days before the NSF submission deadline.
- Any FastLane submissions requiring SPA to scan documentation into the proposal **must** be received in SPA two days prior to submission.*
- One copy of the entire proposal (including a signed certification page) and a completed copy of the PRF are due at SPA by 5:00 p.m. the day before electronic submission.

It is very likely that if we continue to receive FastLane proposals that do not adhere to SPA's deadlines, there will be proposals that do not make the NSF deadline and will be rejected by the NSF Proposal Processing Unit. The submission guidelines we established are needed to allow for proper review, corrections that only the PI/Department can make, and for unanticipated Internet slow-down or downtime at the University or NSF. Not adhering to SPA's proposal deadline puts a tremendous strain on the Principal Investigator, departmental staff and SPA. When SPA staff is devoting all their time to assisting PIs and departments with last minute submissions, there are delays in other important tasks, such as account set-up, award write-ups, and the ability to respond to inquiries not directly related to NSF proposals.

* NSF is now experimenting with requiring all documents to be scanned that would normally be sent first class mail after proposal submission via FastLane. The last program announcement that is part of this experiment is Information Technology Research (NSF 99-167). The full proposal deadline is February 14, 2000. Sometime after this proposal submission, a determination will be made as to whether scanning of documents will be fully implemented.

Erroneous PDF Upload Warnings for FastLane Users

At this time in the "Proposal Preparation-NEW!" system, when you upload a PDF file created in Adobe Distiller 4.0 using the FastLane job options profile located at <http://www.fastlane.nsf.gov/attachA.htm>, you will get a message that your file was created in Adobe PDFWriter. **This error message is incorrect.** We are working to resolve this problem. Meanwhile, please note that this message correctly indicates that your file was successfully uploaded.

Notification of Proposal Receipt

The acknowledgment of the receipt of the proposal will reference both the NSF proposal number and the cognizant NSF program to which the proposal has been assigned. Once the proposal is submitted, PIs can access the proposal number via the "View Submitted Proposal" list in the FastLane proposal preparation module.

When the proposal is assigned to an NSF program, the cognizant program information is available through the FastLane "Proposal Status Inquiry" function for PIs and through the "Recent Proposals" report for sponsored projects offices. Communications about the proposal should be addressed to the cognizant program officer with reference to the proposal number.

PIs are encouraged to use FastLane to verify the status of their submission to NSF. (Reference GPG I.F.3.)

Person-Months

There continues to be confusion about how to calculate the person months per year committed to a project.

Multiply the percentage of your effort associated with the project by the number of months of your appointment (i.e. 10% of a 9 month appointment equals .9 person months; 10% of a 12 month calendar appointment equals 1.2 months). Person months shown on NSF Form 1239 usually equal the number of months on the NSF budget summary (NSF Form 1030) unless you are cost sharing a portion of your time.

Collaborative Proposals

A collaborative proposal is one in which investigators from two or more organizations wish to collaborate on a unified research project. Collaborative proposals may be submitted to NSF in one of two methods: as a single proposal, in which a single award is being requested (with subawards administered by the lead organization); or by simultaneous submission of proposals from different organizations, with each organization requesting a separate award. In either case, the lead organization's proposal should contain all of the requisite sections as a single package to be provided to reviewers. All collaborative proposals should clearly describe the roles to be played by the other organizations, specify the managerial arrangements, and explain the advantages of the multi-organizational effort within the project description. PIs are strongly encouraged to contact the cognizant NSF program officer prior to submission of a collaborative proposal.

Submission of a Single Proposal

The single proposal method allows investigators from two or more institutions who have developed an integrated research project to submit a single, focused proposal. A single investigator bears primary responsibility for the

NSF: Submission of a Single Proposal (continued from previous page)

administration of the grant and discussions with NSF, and, at the discretion of the organizations involved, investigators from any of the participating institutions may be designated as co-PIs.

By submission of the proposal, the organization has determined that the proposed activity is administratively manageable. NSF may request a revised proposal, however, if it considers that the project is so complex that it will be too difficult to review or administer as presented. (See GPG Section II.D.7.f.(v) for additional instructions on preparation of this type of proposal).

Simultaneous submission of proposals from different organizations

In many instances, simultaneous submission of proposals that contain the same project description from each organization might be appropriate. For these proposals, the project title must begin with the words "Collaborative Research."

Note: Until FastLane is fully implemented there are two ways to submit simultaneous collaborative proposals. One is the traditional paper process and the other is electronically via FastLane. Some NSF programs may require electronic submission of all or part of a proposal.

Please check the FastLane web site prior to proposal submission for a listing of programs and program announcements and solicitations that require submission via FastLane. (Reference GPG II.D.12.b).

For additional information on frequently asked questions regarding NSF and FastLane go to [HTTP://WWW.nsf.gov/bfa/cpo/policy/faqs.htm#s](http://WWW.nsf.gov/bfa/cpo/policy/faqs.htm#s).

Controller's Organization Departmental Recharging of OIT Network Costs

A number of departments have contacted the Controller's Organization about setting up departmental Internal Service Organizations (ISO), for the purpose of "recharging" Office of Information Technology (OIT) network and related costs. Discussion and consultation has occurred between the Controller's office and the offices of Budget & Finance, Sponsored Projects Administration, and the Office of Information Technology on these requests. **Based on those discussions, it has been concluded that no ISOs can be formed to recharge any OIT costs, and departments should not recharge OIT expenses to sponsored or other accounts.** University staff are aware of the budgetary impact of these costs on departments; nevertheless, there are three significant compliance risks that have led to this decision, as outlined below.

1. Departmental recharging of network costs would result in "double charging" to sponsored accounts. In the most recent Facilities and Administrative (F&A) cost agreement negotiated with the U.S. Department of Health & Human Services, virtually all OIT and departmental network costs were accounted for as administrative (indirect) costs. The F&A costs now being charged to sponsored accounts via the overhead rate include these same OIT costs, so additional OIT costs charged by any recharge mechanism would constitute double charging of the same costs. This would be a clear compliance violation.
2. Departmental recharging of network costs would result in a violation of OMB Circular A-21 (*Cost Principles for Educational Institutions*) and federal Cost Accounting Standards (CAS), which apply to all universities receiving federal dollars. Circular A-21, section F5, provides

that "the operations of the central administrative management information systems" is an example of general administrative costs. CAS 502 requires institutions to account for costs consistently, when incurred for the same purpose in "like" circumstances (i.e., as an indirect cost AND a direct cost). Ed Wink, associate vice president, certified that the University of Minnesota conforms to this rule when he signed the F&A agreement on behalf of the University last December.

3. In the vast majority of cases, Departmental recharging of any indirect costs, including OIT costs, as direct costs to sponsored projects is prohibited by University of Minnesota Academic & Administrative policy 2.1.3, "Charging of Direct and Indirect Costs." Please note, there are rare exceptions where the nature of a project would allow for the charging of OIT network and related costs directly to sponsored agreements. Please see the policy above for more details on these type costs. This policy has been in place since 1996, and is consistent with A-21 and federal CAS.

To ensure compliance, it is important that any department charging costs to sponsored projects NOT recharge network and related costs, and any person approving costs on sponsored projects NOT accept these types of charges. The Controller's office is communicating this information to Resource Responsibility Center (RRC) managers, Certified Approvers currently approving documents on Financial FormsNirvana, and to grant administrators at SPA.

Animal Use News

Animal Usage Form Updates

The Animal Usage Form (formerly BA-22) periodically undergoes minor revisions to update information or to make the form easier to use. All investigators using animals should always use the latest version of the form. These are available on the web at <http://www.research.umn.edu/subjects/animals/form.htm> in MS Word 97, Rich Text Format or PDF format. The forms can also be obtained from the Institutional Animal Care and Use Committee (IACUC) office, 612.626.5654.

One important change to the current version of the form is the addition of a set of guidelines for development of consent forms for studies that use privately owned animals. These forms are an important tool for communication with animal owners about study goals, risks and benefits. In addition to the guidelines, there is a template form available on the web at <http://www.research.umn.edu/subjects/animals/form.htm> which may be used or modified by investigators for this purpose.

There are several different animal usage forms for use in different types of studies. Aside from the standard Animal Usage Form, there is an Agricultural Animal Usage Form for use in studies involving nutrition, production or the health of agricultural animals. There are also Husbandry Procedures forms for both agricultural and traditional laboratory species. These are used to document basic care and maintenance of herds, flocks, display animals or production colonies where no experimental procedures are normally performed. Animals may be transferred from these protocols to experimental protocols and back again. When in doubt as to which form to use to describe an animal use activity, call the IACUC office at 612.626.5654. The standard Animal Usage Form may always be used; the other forms are designed primarily to simplify the process for studies where traditional descriptions of the procedures, the model, or the experimental design do not apply.

Animal Numbers Justification

One of the most common reasons that Animal Usage Forms are returned to investigators for additional information is inadequate justification of the animal numbers requested. Federal animal welfare regulations require a clear and detailed description of the rationale for the animal use. This information is important both to assess that the experimental design will adequately answer the questions being asked and to ensure that the appropriate number of animals is being requested for the study. Both of these issues are important because they ensure that animals are not being used unnecessarily.

The two major problems seen on many forms are either inadequate description of the experimental design (question three) or of the rationale for the numbers selected (question fourC). Both of these answers are related. It should be clear from the groups described in question three and the numbers per group in question four how the total number of animals is determined. This description is equally important if the study is just harvesting tissue for in vitro work. The answer to question three should be based on a description of the study design, groups used or outline of the manipulations and controls being employed. It should not be based on the average number of experiments the laboratory can perform in a given time period.

This does not address issues of study design. In question fourC there is an expectation that if a model has been previously employed, there is enough information on the variance within the parameters being employed that a power analysis can be performed. The assumptions and power functions used in this analysis should be detailed. For in vitro work, it may be more appropriate to describe the amount of material needed to perform each experiment detailed in questions two and three

and how many animals are needed to provide that material. If the model is new and these parameters are not known, the study should be designated as a pilot project. It is assumed that pilot projects will use a limited number of animals to develop the model. Additional animals can be requested by letter once the model is better defined.

A detailed description of the expectations of the IACUC and some examples for completing the questions are available on the web at <http://www.research.umn.edu/subjects/animals/training/aufutorial.html>. You may also wish to consult with an RAR veterinarian or with Dale Cooper, AHC training and safety officer (coope019@tc.umn.edu, 612.625.0499) for assistance on completion of the form.

Purchasing Controlled Substances Through RAR

As part of the University's efforts to tighten oversight of controlled substance usage, Research Animal Resources will be increasing oversight for controlled substances it dispenses to investigators. RAR will need to verify that the controlled substance being requested is included in an approved Animal Usage Form. RAR will also request written authorization from the investigator or laboratory manager for any person who will be picking up controlled substances from the RAR office. The verification process may take up to 24 hours, so investigators should plan accordingly.

Alternately, investigators may send a copy of the protocol with the person who is picking up the drug so that the verification may be performed. Another important aspect of improving controlled substance oversight is to ensure that proper security and record keeping are being performed. RAR will be providing investigators with an informa-

[continued on next page]

Animal Use News {continued from previous page}

tional sheet describing these expectations. The drug usage form that has been used historically will be unchanged. Contact RAR at 612.624.9100 for further information.

Training Updates

There have been several changes to the IACUC training program investigators should be aware of. It is required that the Principal Investigator and all personnel with animal contact listed on an Animal Usage Form be certified for animal use by the University of Minnesota. The process for certification can vary slightly for different activities:

- The details for the training program and all tutorials are available at <http://www.research.umn.edu/subjects/animals/training/>.
- Animal users involved with traditional laboratory species used for research, and instructors for classroom protocols must have attended an Animal Use Orientation seminar (offered weekly) or have reviewed the on-line tutorial and completed the attached questionnaire and quiz. This applies to visiting faculty, students and other personnel who will be contacting animals.
- Agricultural animal users must review the document "Using Agricultural Animals at the University of Minnesota" and relevant sections from the "Guide for the Care and Use of Agricultural Animals for Agricultural Research and Teaching" and sign a certification statement. A tutorial is available on the training web site.
- Veterinarians using client-owned animals for clinical research may use the first option, or may complete training as described in the web site for the Veterinary Clinical Investigation Center web site at <http://www.umn.edu/vcic/regulatory.html>.
- Students involved in classroom activities must be trained in humane animal use by the class instructors.

{next column}

This may be accomplished by reviewing IACUC information on animal use ethics and alternatives. The IACUC can provide a person to discuss these topics for your class if you wish.

- The IACUC may accept equivalent evidence of training depending on the circumstances. Contact Dale Cooper at 612.625.0499 or coope019@tc.umn.edu.

Animal Usage Form Workshop

The IACUC has scheduled a workshop on preparing an animal usage application on February 22nd at 1 p.m. in room D-578 Mayo. Please call the IACUC to reserve a spot (612.626.5654). If there are more than 12 people who sign up, separate sessions will be scheduled in different locations during the same time period.

If this workshop is successful it will become a monthly session. For individual assistance with an application, please call Dale Cooper at 612.625.0499 or coope019@tc.umn.edu. Also refer to our on-line tutorial at <http://www.research.umn.edu/subjects/animals/training/aufutorial.html>.

Input on Animal Care and Use Manual

The IACUC is considering whether to publish a new edition of the Animal Care and Use Manual or to discontinue distribution of a bound manual. We would like investigator input before making a decision. Currently, all information in this manual is on-line in either the IACUC or RAR web sites at <http://www.research.umn.edu/subjects/> or <http://www.ahc.umn.edu/rar/>.

The information in this site is regularly updated and should be easily available to all investigators. In contrast, the manual is costly to prepare and distribute and becomes outdated very quickly. There may be additional options, such as changing the format of the on-line information to enhance usability or preparing a briefer manual that outlines general procedures while leaving detailed information on-line. Please direct comments to Dale Cooper at 612-625-0499 or coope019@tc.umn.edu

*Dale M. Cooper, DVM, MS, DACLAM
Associate Program Director, Office of Regulatory Affairs*

Please Note**A New Date for F&A Agreement**

The federal Department of Health and Human Services formally signed and dated the F&A (Indirect Cost) agreement on December 16, 1999, which is a change from the November 2, 1999 date noted in previous announcements. The rates have not changed, just the formal signature date.

The December 16, 1999 date is reflected on page two of the Research Review and is incorporated into the Electronic Grants Management Systems (EGMS) --see page 4 of this issue.

Please use the December 16, 1999 date for proposal submissions.

Sponsored Projects Administration Staff Changes

Within the last two months some changes in staff have occurred in Sponsored Projects Administration.

- Sue Marshall has been promoted to senior grant administrator. LeAnne Mfalingundi is a new grants assistant working in Kevin McKoskey's area, handling State of Minnesota.
- Executive secretary Brigitte Welter, a long-time employee working for Ed Wink, left in January.
- Doug Johnson and Leslie Flaherty, both senior grant administrators, left the office last fall for other employment.

“Crash” Ryan

James J. Ryan was on the engineering staff at the University of Minnesota in the 1930's and 40's. He joined the Mechanical Division at General Mills in 1951, although he continued to teach graduate courses in machine design at the University. He also acted as consultant to several industries and the U.S. Navy.

In the late 40's he began work on the VGA Flight Recorder (velocity, G-force, and altitude), which became standard on all civilian and military aircraft. The basic design is still in use.



Above and at left, Dr. Ryan explaining his technology



At right, installing the box

What's New in Grants Management

An index to changes and announcements

February 2000

(month 8 of UM fiscal 2000)

Index to Date

Sponsored Projects Administration (SPA)

- Update 9901: Generic Proposal Added to EGMS
- Update 9902: Changes to Manual
- Update 9903: Additional Information Required in Letter to Transfer a Project to Another Institution
- Update 9904: Revised Overview Brochure
- Update 9905: PIs must Budget some Effort on Every Proposal
- Update 9906: What are Preaward Accounts and Preaward Costs?
- Update 9907: SPA Staff have Part-time Office in the AHC RSO
- Update 9908: Web Provides new Financial Report: The Budget Variance Summary
- Update 9909: Do Pre-proposals have to go through SPA?
- Update 9910: Payment Vouchers (PV) Available for Electronic Departmental Entry
- Update 9911: Late Proposals need your Teamwork
- Update 9912: Proposal Review and Processing Requirements
- Update 9914: NIH Award Notices to Arrive Electronically
- Update 9915: On-Line Purchase Request Available
- Update 9916: NIH Prior Approval Requests to be sent Electronically
- Update 9917: EGMS Version 1.0 Released
- Update 9918: Revised Sections of *Managing Sponsored Projects*
- Update 9919: New Policy on *Charging Sponsored Projects Costs before the Award*
- Update 9920: New Capitalization Threshold
- Update 9921: Indirect Costs to be Charged on First \$25,000 of Subcontracts/Consortia Agreements
- Update 9922: Policy on Uncollectible Costs on Sponsored Accounts
- Update 9923: Revisions to Effort Policy
- Update 0001: Revised Managing Sponsored Projects Manual
- Update 0002: New PI Report Available: Main/Multiple Project Summary

- Update 0003: Revisions to Program Income Policy
- Update 0004: Education in the Responsible Conduct of Sponsored Research and Grants Management
- Update 0005: PRFs Required for Proposal Revisions
- Update 0006: Web-Based PRF Form Required
- Update 0007: Policy on Reporting Violations of Policy or Law
- Update 0008: New Policy on Uncollectible Costs Charged to Sponsored Projects
- Update 0008:* New Intellectual Property Policy
*(unintentional duplicate numbering)
- Update 0009: Principal Investigator Eligibility Policy
- Update 0010: New Procedure Entitled *Adjusting or Correcting Internal Accounting Transactions Involving Sponsored Projects* (Revised Cost Transfer Guidelines)
- Update 0011: New Policy on Requesting Facilities and Administrative (Indirect) Cost Waivers
- Update 0012: New Academic Health Center Policy on Research Performed at Fairview or Employing Fairview Resources
- Update 0013: New Facilities and Administrative (Indirect) Cost Rates
- Update 0014: New Threshold for Routing Documents to Sponsored Projects Administration

Patents and Technology Marketing (PTM)

- PTM Update 9901: New PTM brochure
- PTM Update 9902: New Reporting Invention Policy

Shipping Infectious Substances: What You Should Know

Shipping infectious substances is not the same as sending an ordinary package – it requires training and adherence to federal guidelines. The U.S. Department of Transportation (DOT) regulates this process, and companies like Fed Ex and UPS have additional requirements and paperwork. How do you determine whether you're shipping an infectious substance? The DOT defines an infectious substance as "a viable microorganism or its toxin that causes or may cause disease in humans or animals," and specific packaging requirements must be followed for substances in this category. Different and less stringent packaging requirements apply to biological products and diagnostic specimens.

So, how do you get started? The first step is to plan ahead – give yourself as much time as possible to send the package. Next, determine whether or not you need shipping training - if you ship infectious substances on a regular basis, you must be trained. You may arrange on-site training for your department by calling Andy Phelan at 612.626.7744. (You will need refresher training every three years.)

If you aren't shipping on a regular basis, there's a simple process you can follow:

1. Complete a "Hazardous Material Transport Form" and fax it to HazMat transport, 612.626.1571. (You can access the form via <http://www.dehs.umn.edu/hazmat/hazmatform.pdf> or by calling 612.624.6060).
2. EH&S specialists will review your form and follow up with questions if necessary.
3. DEHS will arrange to pick up the package from your location and give instructions to the shipping dock to prepare, label, and send your package via UPS or Federal Express.

Please note that there are unique considerations for international and air shipping. Permits for importing and exporting may be required, as well as special packaging and labeling; please see the USDA's web site, <http://www.aphis.usda.gov>. On this site, begin by choosing "Regulations" under "News & Information." Under "Code of Federal Regulations" choose "Animals & Animal Products." Type "dangerous goods" under "Search Terms" to find federal regulations on packaging and labeling.

Shipping infectious substances or other hazardous materials is a complex process. Please contact DEHS to ensure that your shipping procedure is safe and compliant with federal regulations.

Patents Issued

October 1999 – December 1999

1. **Title: Method of Preparation of Dideoxycarbocyclic Nucleosides**
Purpose: A therapeutic method employing an antiviral compound.
Inventors: Robert Vince, Mei Hua, Medicinal Chemistry
2. **Title: DNA Sequence-Based HLA Typing Method**
Purpose: The invention provides a process for determining genotypes in highly polymorphic systems.
Inventors: Pedro Santamaria, Jose J. Barbosa, Medicine; Michael T. Boyce-Jacino, Human Genetics; Stephen S. Rich, Laboratory Medicine and Pathology; Anthony J. Faras, Microbiology
3. **Title: Particle Charging Apparatus and Method of Charging Particles**
Purpose: A method for charging aerosol particles, including providing a charger housing.
Inventors: David Y.H. Pui, Da-Ren Chen, Mechanical Engineering
4. **Title: Immortalized Cell Lines for Virus Growth**
Purpose: This invention relates to the production and use of immortalized cell lines from primary chicken embryonic fibroblasts, useful as substrates for virus propagation, recombinant protein expression, and recombinant virus production.
Inventors: Douglas N. Foster, Linda K. Foster, Animal Science
5. **Title: Charged Particle Neutralizing Apparatus and Method of Neutralizing Charged Particles**
Purpose: To neutralize a charged discharge, including providing neutralizer housing.
Inventors: David Y.H. Pui, Da-Ren Chen, Mechanical Engineering
6. **Title: High Heat Flux Catalytic Radiant Burner**
Purpose: A high heat flux catalytic radiant burner including a housing with an inlet and an outlet end, where the gas is oxidized and released while producing extremely low emissions.
Inventors: Lanny D. Schmidt, Christian T. Goralski, Jr., Chemical Engineering and Materials Science
7. **Title: Remote Actuation of Trajectory Guide**
Purpose: A surgical method and apparatus for accurately aligning the trajectory of, guiding of, and introducing or withdrawal of an instrument.
Inventor: Charles L. Truwit, Radiology
8. **Title: Sugarcane Bacilliform Virus Promoter**
Purpose: An isolated and purified DNA molecule and a method of using a sugarcane bacilliform virus promoter to express proteins, RNA transcripts, or mixtures thereof, in transgenic plants.
Inventors: Neil Oleszewski, Iris Tzafrir, Plant Biology; David A. Somers, Kimberly A. Torbert, Agronomy and Plant Genetics; Benham E. Lockhart, Plant Pathology
9. **Title: Antisense Oligonucleotides and Methods for Treating Central Nervous System Tumors**
Purpose: The invention provides compositions and methods for treating primary brain cancer.
Inventors: Walter C. Low, Eric P. Flores, Walter A. Hall, Lan Chiang, John A. Conrad, Neurosurgery
10. **Title: VR-2332 Viral Nucleotide Sequence and Methods of Use**
Purpose: A nucleotide sequence for the VR-2332 virus, which may cause Porcine Reproductive and Respiratory Syndrome.
Inventors: Michael P. Murtaugh, Margaret R. Elam, Laura T. Kakach, Veterinary Pathobiology
11. **Title: Strawberry Plant Named MNUS 248**
Purpose: A strawberry combining the characteristics of midseason ripening, high productivity or yield, excellent survival in cold temperatures, resistance to red stele root rot, and moderate resistance to common foliar diseases.
Inventors: James J. Luby, Horticultural Science; David K. Wildung, North Central Experiment Station, Grand Rapids; Gene J. Galletta, non-University
12. **Title: Pitch Degradation with *Pseudomonas Fluorescens***
Purpose: Bacteria useful in reducing the pitch content of pulps and pulpwoods used in making cellulosic products.
Inventors: Robert A. Blanchette, Todd A. Burnes, Plant Pathology; Roberta L. Farrell, non-University
13. **Title: Pitch Degradation with Wood Colonizing Bacteria**
Purpose: Bacteria useful in reducing the pitch content of pulps and pulpwoods used in making cellulosic products.
Inventors: Robert A. Blanchette, Todd A. Burnes, Plant Pathology; Roberta L. Farrell, Sara Iverson, non-University

14. **Title: Infusible Grade Short-Term Cell Storage Medium for Mononuclear Cells**
Purpose: An infusible-grade storage medium that is capable of preserving the viability and function of stem cells, nucleated cells, and other hematopoietic cells.
Inventors: Scott R. Burger, Allison Hubel, J. Jeffrey McCullough, Laboratory Medicine and Pathology
15. **Title: Method of Growing Granulocytic Ehrlichiae of the Ehrlichia Phagocytophila Genogroup in Promyelocytic Leukemia Cell Culture, and Preparing Antigens and Vaccines of Said Granulocytic Ehrlichiae**
Purpose: Methods for the in vitro cultivation, propagation, and production of antigens of *Ehrlichia phagocytophila* genogroup granulocytic *Ehrlichia* species.
Inventors: Jesse L. Goodman, Medicine; Stephen J. Dumler, John E. Madigan, non-University
16. **Title: Magnetic Storage Having Discrete Elements with Quantized Magnetic Moments**
Purpose: For the magnetic storage of information.
Inventor: Stephen Y. Chou, Electrical and Computer Engineering
17. **Title: Arm Holder for Transillary First Rib Resection**
Purpose: A surgical support apparatus for supporting the limb during a surgical procedure.
Inventor: J. Ernesto Molina, Surgery
3. **Title: hMETIS Version 1.5**
Purpose: A software package for computing min-cut partitionings of hypergraphs.
Inventor: George Karypis, Computer Science and Engineering
Licensee: Knowledge Discovery One, Inc.
 Non-Exclusive Software License Agreement
4. **Title: Catalytic Partial Oxidation – Particulate Catalysts**
Purpose: Catalytic partial oxidation is effected in the presence of a supported Group VIII metal catalyst by reacting a light hydrocarbon with an oxygen containing gas, the catalyst support being in a preferred size range.
Inventor: Lanny D. Schmidt, Chemical Engineering and Materials Science
Licensee: Exxon Research and Engineering Company
 Research Agreement
5. **Title: System to Manage Asthma**
Purpose: Disease management system for monitoring asthma patients, including over the Internet.
Inventors: Malcolm N. Blumenthal, Edward O. Corazalla, Medicine
Licensee: RespiNET, Inc.
 License Agreement
6. **Title: Staging of Bronchiolitis Obliterans Syndrome Using Home Spirometry**
Purpose: To compare detection of bronchiolitis obliterans syndrome (BOS) in lung transplant recipients by clinic pulmonary function laboratory measurement and home spirometry.
Inventors: Stanley M. Finkelstein, Laboratory Medicine and Pathology; Marshall I. Hertz,
 Medicine
Licensee: RespiNET, Inc.
 License Agreement

Technology Transfer Agreements October 1999 – December 1999

1. **Title: Corn cDNA Mapping from Oat-Corn Chromosome Addition Lines and Corn-Oat Introgression Lines (COILS)**
Purpose: A set of oat lines that possess added single pairs of corn chromosomes and are a rich source materials for a number of applications.
Inventors: Evgueni V. Ananiev, Ronald L. Phillips, Oscar Riera-Lizarazu, Howard W. Rines, Agronomy and Plant Genetics
Licensee: Novartis Agribusiness Biotech Research, Inc.
 Non-Exclusive License Agreement
2. **Title: Infusible Grade Short-Term Cell Storage Medium for Mononuclear Cells**
Purpose: A infusible-grade storage medium that is capable of preserving the viability and function of stem cells, nucleated cells, and other hematopoietic cells.
Inventors: Scott R. Burger, Allison Hubel, J. Jeffrey McCullough, Laboratory Medicine and Pathology
Licensee: Nexell Therapeutics, Inc.
 Research Agreement
7. **Title: MRI-Guided Interventional Mammary Procedures**
Purpose: A robust approach for the diagnosis and treatment of breast cancer.
Inventor: Nikolaos V. Tsekos, Radiology
Licensee: Artemis MRI, LLC
 Exclusive Option Agreement
- 8a. **Title: Catalytic Oxidative Dehydrogenation Process**
Purpose: A process for the production of a monoolefin from a gaseous paraffinic hydrocarbon.
Inventors: Sameer S. Bharadwaj, Marilyn C. Huff, Lanny D. Schmidt, Chikafumi Yokoyama, Chemical Engineering and Materials Science

- 8b. Title: Autothermal Process for the Production of Olefins**
Purpose: A process and catalyst for the partial oxidation of paraffinic hydrocarbons.
Inventors: Ashish S. Bodke, Lanny D. Schmidt, Chemical Engineering and Materials Science
Licensee: Dow Chemical Company
 Exclusive License Agreement
- 9. Title: Isolated Perfused Heart Preparation and Method of Use**
Purpose: An isolated heart preparation in which essentially normal pumping activity of all four chambers of the heart is preserved, allowing for investigations of electrode leads, catheters, cardiac implants, and other medical devices intended to be used in or on a beating heart.
Inventors: Paul A. Iazzo, Anesthesiology; Mark A. Hjelle, Timothy G. Laske, Josee Morissette, Dale A. Wahlstrom, non-University
Licensee: Medtronic, Inc.
 Non-Exclusive Research Agreement
- 10a. Title: Single Circuit Ladder Resonator Quadrature Surface RF Coil**
Purpose: A first mode circuit path for detecting or generating magnetic flux in a vertical axis from a body under investigation, and a second mode circuit path for detecting or generating magnetic flux in a parallel axis, well suited for imaging the human neck, spine, and heart.
Inventors: Haiying Liu, Charles L. Truwit, Radiology
- 10b. Title: Intracranial Endoscopy Device with Thermal Tip**
Purpose: A biopsy needle involving a core needle on a flexible introducer for intracranial endoscopy.
Inventor: Charles L. Truwit, Radiology
- 10c. Title: MR Compatible Temperature Sensor**
Purpose: A device used in open surgical procedures to directly measure temperature at a site where an intervention either is or has taken place, and where local temperature changes might be different than core body temperature.
Inventors: Charles L. Truwit, Haiying Liu, Radiology; Ramesh Harjani, Joseph J. Talghader, Electrical and Computer Engineering
- 10d. Title: Electro-Optical Interface for MR-Compatible Sensors**
Purpose: An interface for use in MRI sensors eliminating strong electromagnetic fields, the potential interference of weak radio-frequency signals, and the potential biohazards to patients.
Inventor: Joseph J. Talghader, Electrical and Computer Engineering
- 10e. Title: Device for MR or CT Guided Placement of Brachytherapy Seeds**
Purpose: To facilitate the MR-guided placement of brachytherapy seeds in the treatment of prostate cancer.
Inventor: Charles L. Truwit, Radiology
- 10f. Title: Micro Pump for Medical Use**
Purpose: A medical micropump that is surgically implanted, but requires no battery as it is "charged" transcutaneously from an external energy source, for delivery of drugs.
Inventors: Charles L. Truwit, Haiying Liu, Radiology; Ramesh Harjani, Electrical and Computer Engineering
- 10g. Title: True Energy Minimal and Finite Size Bi-Planar Gradient Coil Design for Magnetic Resonance Imaging**
Purpose: A z-gradient coil of minimal stored magnetic energy for various MR applications.
Inventors: Charles L. Truwit, Haiying Liu, Radiology
- 10h. Title: Hyperthermia Device Using Focused Ultrasound**
Purpose: A system designed primarily for transurethral hyperthermia of prostate carcinoma.
Inventors: Charles L. Truwit, Haiying Liu, Radiology
Licensee: Biomedical Devices of Minnesota, LLC
 Exclusive License Agreement
- 11-12. Title: Apple Tree, Variety Minnewashta / ZESTAR!**
Purpose: An apple tree with vigorous growth in early years, good hardiness with little winter injury, and annual fruit production.
Inventors: David S. Bedford, James J. Luby, Horticultural Science
Licensee: American Nursery Products, Inc.
 Plant Patent and Trademark Agreement
Licensee: Stark Bro's Wholesale Co.
 Plant Patent and Trademark Agreement
- 13. Title: Immortalized Cell Lines for Virus Growth**
Purpose: The production and use of immortalized cell lines from primary chicken embryonic fibroblasts, useful as substrates for virus propagation, recombinant protein expression, and recombinant virus production.
Inventors: James A. Farris, Douglas N. Foster, Linda K. Foster, Animal Science
Licensee: American Home Products Corporation
 Exclusive License Agreement

14. Title: Portfolio

Purpose: A web-based tool available to UM students, faculty, and staff for accessing, storing, and selectively displaying (and viewing) educational, professional, and personal records in a secure computing environment.

Inventor: Paul Treuer, Support Services Program, Duluth

Licensee: MN Department of Economic Security
Non-Exclusive Software License Agreement

15. Title: MT5-MMP as a Potential Diagnostic Marker and Therapeutical Target for Cancer and Arthritis

Purpose: A new matrix metalloproteinase highly expressed in the brain and upregulated in at least ovarian cancer; it may be critical to the destruction of extracellular matrix and enable tumor cells to invade and metastasize.

Inventor: Duanqing Pei, Pharmacology

Licensee: R&D Systems, Inc.
Non-Exclusive License Agreement

16a. Title: UGATHER

Purpose: An Apple Macintosh software application for managing large multimedia databases of diverse content and file types.

Inventors: Kyle W. Hammond, Richard W. Peifer,
General Biology Program

16b. Title: UPRESENT

Purpose: An Apple Macintosh software application for organizing, controlling, and presenting a variety of digital and analog content via computer projection.

Inventors: Kyle W. Hammond, Richard, W. Peifer,
General Biology Program

Licensee: KTCA/KTCI TC Public Television Non-Exclusive Copyright License Agreement

17. Title: Novel Attachment of Chemistry for Silicon

Purpose: A method for covalently binding organic molecules directly to silicon surfaces.

Inventor: Xiaoyang Y. Zhu, Chemistry

Licensee: Gene Logic, Inc.
Exclusive License Agreement

More Information

To generate copies of NIH and NSF application forms, please go to EGMS at <http://nirvana.ospa.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>, or to NSF at <http://www.nsf.gov/cgi-bin/getpub?nsf003> (For help, call the EGMS help line at 612.624.1600.)

For funding searches

Please contact the Office of the Vice President for Research 612.625.7585; facgrant@gold.tc.umn.edu <http://www.research.umn.edu/research.html>.

To link directly to the web sites listed, go to the *Research Review* web site at <http://www.ospa.umn.edu/resrev.htm>.

Department of Energy

- ✦ Development and Demonstration of Black Liquor/Biomass Gasification in the Forest Products Industry

DOE is requesting cost-shared, demonstration proposals to support applications to improve the processing of Black Liquor and Biomass from the forest industry using gasification systems.

The two receipt dates for applications are **February 29, 2000** and **June 1, 2000**. Go to <http://www.NETL.doe.gov/business/solicit>.

- ✦ Energy and Environmental Solutions

To provide support to develop cost effective, environmentally sound technologies and analytical capabilities needed to solve environmental problems from the cold war, and alternative uses of biomass. Developing the technologies will assist in reducing the radioactive and hazardous waste risk at DOE sites and provide pollution prevention opportunities for biomass.

The next receipt dates are **May 3, 2000** and **August 30, 2000**. Go to <http://www.NETL.doe.gov/business>.

- ✦ Photovoltaic Research, Education, and Collaboration

Applications are requested only from colleges and universities for research on the advancement of crystalline silicon solar cell technology, including educating undergraduate and graduate students through courses and laboratory experience.

No application date was indicated. Go to <http://www.eren.doe.gov/golden/solicitations.html>.

- ✦ Ethical, Legal, and Social Implications of the Human Genome Program (HGP)

Applications should focus on issues of 1) genetics and the workplace; 2) storage of genetic information and tissue samples; 3) education, or 4) complex or multigenic traits, focusing on research that addresses ethical, legal, and social implications from the use of information and knowledge resulting from the HGP.

The application deadline is **April 6, 2000**. Go to <http://www.sc.doe.gov/production/grants/grants.html>. Refer to program notice 00-10.

Centers for Disease Control

- ✦ National Public Health Information/Communication Network

Cooperative agreements for the operation and enhancement of a national public health information/communication network that will coordinate coverage of public health emergencies with state and local health departments; enhance disease prevention and promotion efforts; provide opportunities to relate the stories of health prevention; identify methods to provide health communication education and training to state health departments; and elicit the coordination and cooperation of other national, public, private, and voluntary agencies in promoting public health information.

The application deadline is **March 14, 2000**. Go to <http://www.cdc.gov>. Refer to program announcement 00029.

Department of State

- ✦ Orientation Activities

To develop and administer August 2000 orientation activities in Washington, D.C. for approximately 570 foreign and U.S. teachers and dependents participating in the Fulbright Teacher Exchange Program.

The application deadline is **March 10, 2000**. Go to <http://e.usia.gov/education/rfps>. Reference ECA/A/S/X-00-03.

U.S. Department of Education

* Learning Anytime Anywhere Partnerships

CFDA 84.339A, 84.339B

To provide grants or enter into cooperative agreements to enhance the delivery, quality, and accountability of postsecondary education and career-oriented lifelong learning through technology and related innovations.

The pre-application deadline is **March 3, 2000**; final proposals are due **June 9, 2000**. Go to <http://www.ed.gov/pubs/edpubs.html>.

* Bilingual Education

CFDA 84.195B

To incorporate courses and curricula on appropriate and effective instructional and assessment methodologies, strategies, and resources specific to limited English proficient students, into preservice and inservice professional development programs for teachers, pupil services personnel, administrators, and other educational personnel.

The application deadline is **March 8, 2000**. An estimated 40 awards will be made. Go to <http://ocfo.ed.gov/fedreg.htm> or <http://www.ed.gov/news.html>.

* High School Equivalency Program * College Assistance Migrant Program

CFDA 84.141A AND 84.149A

To provide grants to help migrant and seasonal farmworkers complete high school and succeed in postsecondary education.

Applications are due **March 10, 2000**. Go to <http://ocfo.ed.gov/fedreg.htm> or <http://www.ed.gov/news.html>.

* Higher Education Collaboration between the U.S. and the European Community

CFDA 84.116J

To provide grants, or to enter into cooperative agreements to improve postsecondary education opportunities, by focusing on problem areas or im-

provement approaches in postsecondary education. An invitational priority encourages proposals designed to support the formation of educational consortia of institutions in the U.S. and the European Union to encourage cooperation in the coordination of curricula, the exchange of students, and the opening of educational opportunities between the U.S. and the European Union.

The application deadline is **March 17, 2000**. Go to <http://ocfo.ed.gov/fedreg.htm> or <http://www.ed.gov/news.html>.

Department of the Interior

Geological Survey

* National Spatial Data Infrastructure Partnership

To facilitate and foster partnerships, alliances, and technology within and among various public and private entities to assist in building the National Spatial Data Infrastructure (NSDI). The NSDI consists of technologies, policies, organizations, and people necessary to promote cost-effective production, ready availability, and greater utilization of high quality geospatial data among a variety of sectors, disciplines, and communities.

Applications must be received on or before **March 15, 2000**. Go to <http://www.usgs.gov/contracts/index.html>.

Department of Commerce National Oceanic and Atmospheric Administration

* Collaborative Science, Technology, and Applied Research

To create a cost-effective continuum from basic and applied research to operations, through collaborative research between operational forecasters and academic institutions which have expertise in the environmental sciences. These activities improve the accuracy of forecasts and warnings of environmental hazards by applying scientific knowledge and information

from the modernization of the National Weather Service.

The application deadline is **April 14, 2000**. For further information, contact Sam Contorno at 301.713.1970 ext. 193, fax 301.713.1520, samuel.contorno@noaa.gov.

National Science Foundation

* Life in Extreme Environments

To explore the relationships between organisms and the environments within which they exist, with a strong emphasis on those life-supporting environments that exist near the extremes of planetary conditions. In addition, the program will explore planetary environments in our own solar system and beyond to help identify possible sites for life.

Proposals are due **April 10, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0037>.

* CISE Educational Innovation

To stimulate innovative educational activities at the undergraduate level in the Computer and Information Science and Engineering disciplines by encouraging the transfer of research results into the undergraduate curriculum.

Proposals are due **April 25, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?0033>.

* Rural Systemic Initiatives

To support activities that promote systemic reform of science and mathematics education in schools and districts in rural, economically disadvantaged areas.

Development proposals are due **April 19, 2000**; implementation proposals are due October 1, 2000. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0047>.

Fax number	612.624.4843	
SPA's Web site	http://www.ospa.umn.edu	
Associate Vice President, SPA	Ed Wink	624.1648 ewink@tc.umn.edu
Assistant Vice President, and Interim Director, SPA	Winifred A. Schumi	624.5750 wschumi@tc.umn.edu
Executive secretary	Carol Foth (temp)	626.7437 @tc.umn.edu
Editor, <i>Research Review</i>	Bruce Erickson	625.2354 erick210@tc.umn.edu
EGMS		
Project Analyst, EGMS	Susan Stensland	625.3515 stenslan@tc.umn.edu
Business Help Line		612.624.1033
Technical Help line		612.624.1600
Sponsored Projects Administration, information		624.5599 spa@tc.umn.edu
Executive assistant	Kim Makowske	624.9004 makowske@tc.umn.edu
Application materials	Tove Jespersen	624.0061 tove@tc.umn.edu
Interim assistant director (NIH, USDE, DOJ)	Lorrie Awoyinka	626.2265 lorrie@tc.umn.edu
NIH, USDE	Sue Marshall	625.3415 marsh068@tc.umn.edu
NIH, USDE	TBA	624-2376 .tc.umn.edu
Foundations; USDE; NIH	Judy Krzyzek	624.2546 krzyzek@tc.umn.edu
Foundations; NIH	Mike Clements	624.0895 mclem@tc.umn.edu
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NIH; USDA; HUD; Peace Corps; FAA	Debb Grove	626.0270 grove020@tc.umn.edu
Army; Air Force; misc. federal (contracts only); NIH	TBA	624.0288 @tc.umn.edu
Navy; misc. federal (grants only); NIH	Jim Garrison	625.1359 garri005@tc.umn.edu
Special Army; NIH (Peds and Surgery)	Mary Lou Weiss	624.5856 mweiss@tc.umn.edu
Interim assistant director (MN Health Dept., VA, HCFA)	Kevin McKoskey	624.5066 kevin@tc.umn.edu
NSF; NASA, DOE, Federal Labs	Launa Shun	624.2521 shunx001@tc.umn.edu
NSF; NASA, DOE, Federal Labs	Sandy Kenyon	624.9567 kenyo003@tc.umn.edu
Ag. associations, voluntary health, other private	Kate Tennesen	626.7718 tenne009@tc.umn.edu
Ag. associations, voluntary health, other private	Reneé Frey	624.0810 renee@tc.umn.edu
St. of MN, governments	Amy Levine	626.7441 amy-l@tc.umn.edu
St. of MN, governments	Faith Mrutu	626.8265 faith@tc.umn.edu
St. of MN	LeAnne Mfalingundi	624-2038 mfali001.tc.umn.edu
Business and industry, Medical School	Judy Volinkaty	624.3317 j-voli@tc.umn.edu
Business and industry, Medical School	Pamela Cherry	624.0035 cherr006@tc.umn.edu
Business and industry, health sciences	Gary Gillet	624.5571 gille013@tc.umn.edu
Business and industry, health sciences	Chris Coyne	626.8267 coyne003@tc.umn.edu
Patents and Technology Marketing, information: 612.624.0550; fax: 612.624.6554; web: http://www.ptm.umn.edu		ptm@tc.umn.edu
Interim asst VP, technology licensing (IT, CBS, COAFES, CNR, CHE)	Tony Strauss	624.0869 tony-s@tc.umn.edu
Technology licensing	Jeff Carpenter	624.6426 carpe012@tc.umn.edu
Software licensing	Jim Hildebrand	624.9568 hilde017@tc.umn.edu
Technology licensing	Beth Trend	626.9293 btrend@tc.umn.edu
Technology transfer coordinator (Sota Tec Fund)	Fred Janzen	625.8826 janze011@tc.umn.edu
Director, technology licensing (health sciences)	Michael F. Moore	624.9531 moore045@tc.umn.edu
Technology licensing	Susan Patow	624.3966 patow001@tc.umn.edu
Technology licensing	Paul Korathu	624.8205 korat001@tc.umn.edu
Technology transfer liaison	TBA	@tc.umn.edu
Indirect Cost, Effort Certification		
Indirect cost and other rate development	Steve Bradley	626.9895 bradl011@tc.umn.edu
Effort help line		612.625.7824 effort@tc.umn.edu
Information Services		
Interim MIS coordinator	Mary Bendtsen	624.0583 mbendts@tc.umn.edu
<i>Levels & Trends</i> and proposal and award data questions	Mary Bendtsen	624.0583 mbendts@tc.umn.edu
Duluth, Office of Research & Technology Transfer		
Sr. grant and contract administrator	Jim Loukes	218.726.7583 jloukes@ub.d.umn.edu
Morris, Grants Development, http://www.mrs.umn.edu/services/grants		
Director	Tom Mahoney	320.589.6462 mahoneyt@mrs.umn.edu
related numbers		
Sponsored Financial Reporting, fax: 612.626.0321; web: http://www.sfr.umn.edu		
Manager	Joan Donaldson	624.6026 j-dona@sfr.umn.edu
Supervisor, Vol health, foundations, ag assns, St. of MN, other private	Sue Paulson	624.5007 spaul@sfr.umn.edu
Supervisor, industry, NSF, subcontracts	Kerry Marsolek	624.8053 kerry@sfr.umn.edu
Supervisor, NIH, USDE	Pat Healy	624.7033 healy003@sfr.umn.edu
Supervisor, other federal	Susan Harris	624.7850 harri140@sfr.umn.edu
Research Subjects' Protection Programs, fax 612.626.6061; web: http://irb@umn.edu / http://iacuc@umn.edu		
Director	Moirá Keane	626.5654 keane002@tc.umn.edu

Instructions on Changing Addresses

SPA cannot change the faculty mailing list. It is a list we *buy* monthly.

(Faculty mailing labels are those with a string of seven numbers printed above the addressee's name).

This list is generated by Human Resources and changed in your department.

For faculty-list changes, please call your departmental payroll or Human Resources coordinator.

For changes regarding *other* labels (no numbers above the name), please complete the following:

Change Name: _____

Add Department: _____

Delete Building & Room No.: _____

Mail Delivery Code (if on campus): _____

City, State, Zip (if off campus): _____



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Research

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Sponsored Projects Administration
Patents and Technology Marketing
Oversight Analysis and Reporting

February 2000

Special Issue

Volume XXIX, Number 8.1
<http://www.ospa.umn.edu/resrev.htm>

The office of the Vice President for Research produced this special issue of the *Research Review* to give University faculty and staff information about the recent NIH action. Future issues of the *Research Review* will have more details and updates about how the University will implement its expanded authorities.

NIH Upgrades U of M Grant Status	1
What Happens Now	3
Principal Investigator Educational Requirements	3

Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of the month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, erick210@tc.umn.edu.

SPECIAL ISSUE

NIH UPGRADES U OF M GRANT STATUS

The National Institutes of Health (NIH) has given the University of Minnesota a vote of confidence by returning to the university "expanded authority" to manage grants locally that

development of a new sponsored projects management model. The exceptional designation is now scheduled for removal as soon as the university meets certain conditions described in the



David Hamilton, director of the Sponsored Projects Management Project, answers a question at the February 3rd press conference.

it receives from NIH, and by putting its "exceptional" designation on a conditional basis.

The designation was imposed in August 1995 following the identification of systemic weaknesses in the university's grant management procedures. Since then the university has taken corrective actions, among which are development of an electronic grants management system (EGMS) and de-

velopment of a new sponsored projects management model. Full restoration of the university's status is expected by September 30, 2000.

NIH based its decision on progress the university demonstrated during a site visit in October 1999. The NIH team that conducted the visit was charged with assessing the implementation and effectiveness of 55 critical revisions to the university's grant management sys-

tem that were identified in a December 19, 1997 report.

"We're very happy with the NIH action," said Christine Maziar, university vice president of research and dean of the Graduate School. "This is the result of four and a half years of hard work by our faculty and staff who designed and developed the new grants management system and took other steps to ensure compliance with federal agency requirements. We also appreciate the hard work of the staff of the NIH who have been walking this road with us."

"The blood, sweat and tears that have been poured into this effort have finally paid off," said Frank Cerra, senior vice president for health sciences. "I am especially delighted that they were impressed with how we are now handling financial conflicts of interest, which was originally an area of great concern."

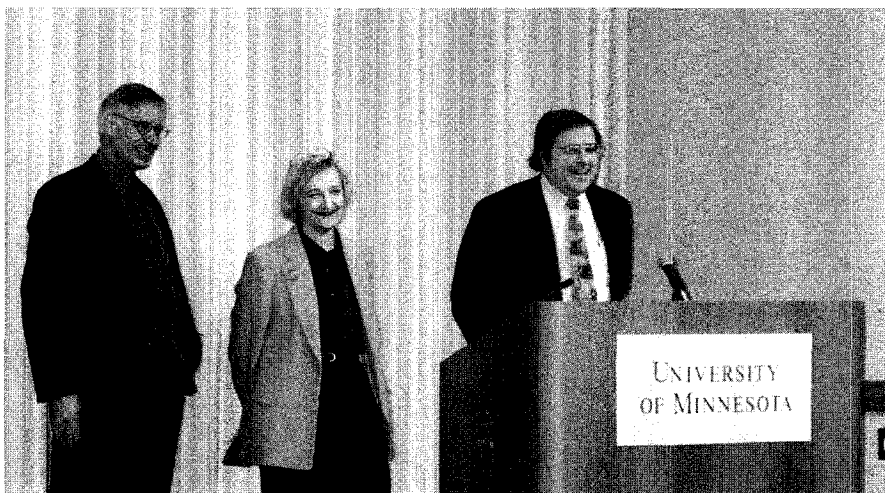
In returning the university's expanded authorities, NIH has returned to the university the right to make certain decisions about grants. This will streamline the process of administering grants, saving university researchers time, effort and money.

"For NIH, the categories include carrying forward of unexpended funds from

one grant year to the next, approving a no-cost extension when one comes to the end of a grant but has money left, and other technical issues that will make administering grants easier for the institution and will greatly benefit investigators supported by the NIH," said David Hamilton, a professor of genetics, cell biology and development, who directed development and implementation of the new Sponsored Projects Management Model. The NIH

and the Department of Health and Human Services sponsor over \$140 million in research through over 800 grants and contracts awarded each year to the University of Minnesota.

"Another example of how return of expanded authority will benefit faculty is that they will now be able to use a streamlined process, called SNAP, for submitting continuation proposals and for reporting on the financial status of grants," said Winifred Schumi, assis-



tant vice president in the university's Sponsored Projects Administration office (SPA) and project manager of the Sponsored Projects Management Project.

The Sponsored Projects Management Model provides electronic tools; revamped roles, responsibilities, and policies and procedures; an enhanced training and educational offering for faculty and staff; and a strong new institutional oversight organization.

From left to right, Bob Bruininks, executive vice president and provost, Christine Maziar, vice president for research and dean of the Graduate School, and Frank Cerra, senior vice president and director of the Academic Health Center.

What Happens Now?

With NIH giving the University its expanded authorities back, principal investigators (PIs) may be asking "What happens next?"

The processes involved in implementing the return of the expanded authorities are being reviewed and will be communicated in a forthcoming *Research Review*.

According to the letter from Diana Jaeger, director of the Office of Policy for Extramural Research at NIH:

- The provisions of expanded authorities are restored to all applicable grant awards that are active on or after January 21, 2000. Grant awards affected by the restoration of authority include "R" series (Research Project Grants), Program Project Grants (P01), "K" series (Career Development Awards) and Minority High School Student Research Apprentice Program Awards (S03). The provisions of expanded authorities include extensions of projects without additional funds, carryover of unobligated balances, preaward costs, use of program income, and certain cost-related prior approvals. No revised grant awards will be issued to reflect the restoration of expanded authorities.
- The restoration of expanded authorities enables the University to use the Streamlined Noncompeting Award Process (SNAP) for those mechanisms routinely covered by expanded authorities except Program Project Grants (P01) and Outstanding Investigator Grants (R35).
- All currently active University awards still require an annual Financial Status Report (FSR-269) for the current budget period. Once a SNAP award is issued, the annual FSR will no longer be required.
- The University also may now fully participate in the modular application process. Awards resulting from

Principal Investigator Educational Requirements

The Board of Regents policy, *Principal Investigator Eligibility on Sponsored Projects* requires PIs to participate in an educational program on the Responsible Conduct of Research (RCR).

The curriculum outlined in the January issue of the *Research Review* is divided into a series of workshops:

- *RCR, part One*, covers topics such as social responsibility, reporting misconduct, authorship, and management of research data.
- *RCR, part Two*, covers fiscal responsibilities, conflict of interest, and intellectual property.
- Additional topic-specific workshops include care and use of animals, protecting human subjects, and issues in environmental health and safety.

New faculty or current PIs who have not attended an RCR workshop *must* attend both parts of the RCR workshop, and any additional topic specific workshop that is appropriate to their research within the first 12 months of their appointment, or prior to receipt of additional external funds.

Current PIs and faculty who attended an RCR workshop in the past few years, *must* attend RCR part two prior to receipt of additional external funds.

More information is available in the February 2000 *Research Review* and at <http://www.research.umn.edu/training>.

Responsible Conduct of Research (RCR) – part One

<u>Day & Date</u>	<u>Time</u>	<u>Location</u>
Wed, Mar 8	8:30 – 11:30 a.m.	Nolte 146
Thur, Mar 30	9:30 – 12:30 p.m.	Moos 5-125, ITV

Responsible Conduct of Research (RCR) – part Two

<u>Day & Date</u>	<u>Time</u>	<u>Location</u>
Wed, Feb 23	8:00 – 11:00 a.m.	BSBE 2-101
Thur, Mar 2	1:00 – 4:00 p.m.	Gateway Ski-U-mah
Thur, Mar 9	8:00 – 11:00 a.m.	BSBE 2-101

To register, e-mail chrd@tc.umn.edu. or call 612.625.6340.

For more information call 612.626.7850.

submission of modular applications will be issued without direct cost categorical breakdowns, provide oversight based on total costs, and minimize pre-award analyses.

NIH recognized the progress the University has made so far by saying "the University is to be commended for its excellent effort in moving forward with its Grants Management Project. While we have identified some actions that remain to be taken and/or completed, we also recognize that much has been

done to improve the quality and effectiveness of the University's sponsored programs administration. We look forward to a successful conclusion of our combined efforts."

Future issues of the *Research Review* will include more details about the implementation of the expanded authorities.

Instructions on Changing Addresses

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(Faculty mailing labels are those with a string of seven numbers printed above the addressee's name).

This list is generated by Human Resources and changed in your department.

For faculty-list changes, please call your departmental payroll or Human Resources coordinator.

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Change Name: _____

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Research Review



Sponsored Projects Administration
 Patents and Technology Marketing
 Oversight Analysis and Reporting

March 2000

Volume XXIX, Number 9
<http://www.ospa.umn.edu/resrev.htm>

Administration and Conduct of Sponsored Work

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Update: Certified Approver Program 6

News and Feature Stories

✓ Articles of Note:

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Funding Opportunities

Funding Opportunities 9

Awards, Publications, and Honors

<http://www.ospa.umn.edu/awards.htm>, or
<http://www.ospa.umn.edu/publications.htm>

Your News Here?

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The Return of Expanded Authorities and its Effect on NIH Grants

As reported in February's special issue of the Research Review, the National Institutes of Health (NIH) recently returned the University's expanded authority to manage NIH grants at the local level. In addition, NIH placed the University's exceptional status on a conditional basis and expects to fully restore the University's status by September 30, 2000.

What does the restoration of expanded authorities mean in a practical sense to the day-to-day management of an NIH grant? Which grants are routinely included in expanded authorities? What will happen to requests that have already been submitted to NIH for grants that are now covered by expanded authorities?

Many requests require prior approval by either the sponsoring agency or the institution. With the NIH action to return our expanded authorities, we now have authority to make decisions locally on some types of prior approvals.

Three approval actions related to NIH grants were affected once we received the return of our expanded authorities. These include 1) the carryover of unexpended funds, 2) requests for no-cost extensions of up to 12 months, and 3) the treatment of program income.

Expanded authorities apply to the following current and future award types:

- "R" series (Research Project Grants);
- Program Projects Grants (P01);
- "K" series (career Development Awards); and
- Minority High School Student Research Apprentice Program Awards (S03).

For more information about additional award types covered by expanded authorities, please go to the Sponsored Projects Administration (SPA) web site at <http://www.ospa.umn.edu>. Expanded authorities will apply to all future projects under these award types though the NIH does have the option of excluding individual projects.

All requests made after January 21, 2000 for carryover of unexpended funds and no-cost extensions of up to 12 months should follow the procedures outlined below. Participating institutes of NIH will process requests that were made prior to January 21, 2000. NIH is aware that there may be outstanding requests awaiting their action (approval or disapproval). The chief grant officers of all the institutes were sent a clarifying e-mail in February to remind them to process these requests.

{continued on page 3}

RESEARCH REVIEW

Volume XXIX, Number 9

March 2000

Editor: Bruce Erickson

Editorial Assistant: Tove Jespersen

Associate Vice President: Ed Wink

Research Review is a monthly publication of the office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 450 Gateway Building, 200 Oak Street SE, Minneapolis, MN 55455-2070, or call Bruce Erickson, 612.625.2354, erick210@tc.umn.edu, or Tove Jespersen 612.624.0061, tove@tc.umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New *provisional* rates effective Fall, 1999

TA, RA, AF: standard of gross salary	\$5.13/hr	+	7.6%
TA, RA, AF: advanced master's or Ph.D.	\$.93/hr	+	7.6%
Summer session semester TA, RA, AF	—		7.6%
Summer session TA, with tuition	\$9.68/hr	+	7.6%
Summer session TA, without tuition	—		7.6%
Professional program assistant	—		7.6%
Dental fellow *	\$3.35/hr		—
Medical fellow *	\$2.57/hr		—

To the rates listed above, add 7.7% to the 7.6% when a graduate student is enrolled for fewer than 3 credits, or less than 1 credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. This is a change from previous years.

Other Job Classes

	Civil Service	Academic	Post-doc class #9546
7/1/98 - 6/30/99	25.6%	27.1%	13.9%
7/1/99 - 6/30/00	24.4%	27.6%	14.2%
7/1/00 - 6/30/01	27.9%	27.4%	14.3%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009.

Complete details of fringe benefit rates for all classes of UM employees are available at http://www.fpd.finop.umn.edu/groups/ppd/documents/rates/fringe1999_2000.cfm.

Rate changes will be reflected in this section.

Facilities & Administrative (F&A) (Indirect Cost) Rates

The rates listed at right come from the University's most recent F&A/indirect cost agreement, dated **December 16, 1999**. This date should be used where required on applications.

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration at 612.624.5599. If you have questions on F&A/indirect cost rate development, please call Steve Bradley, 612.626.9895.

* A project is considered off-campus if more than 50 percent of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University.

Research (MTDC base)

On-campus	48.00%	FY 2000
	48.50%	FY 2001-03
Off-campus*	26.00%	FY 2000-03
SAFL on-campus	59.00%	FY 2000-03
SAFL off-campus*	26.00%	FY 2000-03
Hormel on-campus	50.00%	FY 2000-03
Hormel off-campus*	26.00%	FY 2000-03

Other Sponsored Activity (MTDC base)

On-campus	32.00%
Off-campus*	26.00%

Instruction (MTDC base)

On-campus	52.00%
Off-campus*	26.00%

MTDC (Modified Total Direct Cost):

Total direct cost minus:

- graduate student fringe benefits
- equipment
- capital expenditures, e.g., new building construction
- charges for patient care
- tuition remission
- rental costs of off-site facilities
- scholarships and fellowships
- the portion of each subgrant and sub-contract in excess of \$25,000

For more information on equipment and subgrants and subcontracts in excess of \$25,000, see the April 1999 *Research Review*, or go to <http://www.ospa.umn.edu/resrev.htm>.

NIH Expanded Authorities

{continued from page 1}

New Procedures:**Carryover of unexpended funds**

- Balances eligible for carryover will be determined based on ledger balances shown at the end of the budget period.
- Overdrafts cannot be carried forward and must be charged to nonsponsored accounts.
- Balances that are the lesser of 25% of the current period budget amount or \$250,000 will automatically be carried over to next budget period.
- If the balance exceeds the lesser of 25% of the current period budget amount or \$250,000, the entire balance will be put in reserve. In order to release these funds, an e-mail must be sent to your SPA grant administrator stating:
 - the reason for the balance
 - the impact on project objectives
 - the justification for the use of the carryover balance to complete project objectives, and
 - a budget to show the proposed allocation of the funds in both direct and indirect costs.
- Carryover requests that include equipment must identify:
 - the item of equipment
 - the estimated cost
 - a description of the use to the project
 - a justification that the need cannot be met by existing equipment, and
 - percent usage on the project
- If a carryover request has not been made for balances that were placed in reserve prior to January 21, 2000, the request must follow the steps included in the fourth bullet point outlined above.

No-cost extension of up to 12 months

- All requests for no-cost extensions must be sent to your grant administrator four to six weeks in advance of the project end date to allow proper review and notification to NIH. The e-mail request must address:
 - the period of extension being requested
 - the work to be accomplished
 - the anticipated balance available to cover the work during the extended period and
 - updated certifications for projects involving use of human subjects or animals.
- Requests for retroactive approval for a no-cost extension must address the four points listed in the bullet above and explain the reason for the delay. This request will be sent to NIH for approval. Any activity that is continued without agency approval is at the department's risk if approval is not obtained.

Use of Program Income

- The additional cost method for the use of program income will apply to awards included under expanded authorities. The additional cost method means that income generated can be used in addition to the agency award to further the objectives of the project. In some cases, program regulations or the Notice of Grant Award may specify a different alternative.

SPA will continue to provide more information about implementing the University's expanded authorities in future issues of the *Research Review*. If you have questions, please contact your grant administrator.

Update:**Project SPA**

Sponsored Projects Administration (SPA) and Arthur Andersen LLP staff are nearing completion of Project SPA - Implementing Quick Hit Improvements. In the meantime, work continues in the main areas of technology, business processes, recruitment and personnel, and training. The April 2000 issue of the *Research Review* will have more detailed information about the results of the project and plans for implementation.

SPA and PTM**Staff Changes**

Fred Janzen, technology transfer coordinator for the Sota Tec Fund in Patents and Technology Marketing, has left the University. Questions regarding Sota Tec may be directed to 612.624.0550.

A new grants assistant has been hired. Dara Little began working in Sponsored Projects Administration on February 21. She will work with Sue Marshall in the NIH, USDE area. You may reach her at 612.624.4121, littl025@tc.umn.edu.



Think Spring

Research Animal Resources Per Diem Chart

Effective 07/01/00

<u>Species</u>	<u>Price</u>
Calves	\$ 8.50
Cats	3.50
Chickens and Ducks	1.00
Chicks (up to 14 days)28
Chicks (15-45 days)53
Chinchillas70
Dogs	4.77
Dogs and Cats w/ Litter	6.40
Ferrets	3.68
Guinea Pigs65
Lizards and Newts30
Non-Human Primates (Baboons)	6.45
Non-Human Primates (Macaques)	4.12
Rodents:	
Small/Large Box Charge	
Conventional39/.87
SPF44/.98
Autoclaved	1.17/1.54
Pigeons85
Pigs	5.67
Rabbits	1.39
Rana Frogs41
Rats-Suspended Metal Cages34
Sheep & Goats	5.94
Turtles79
Xenopus Frogs	
Small Tank58
Large Tank	1.16
Post-Operative Care	21.00

Announcing: New Web Sponsored Financial Oversight Reports

The Office of Oversight, Analysis, and Reporting would like to present the latest addition to the Sponsored Financial Reports web page: Salary Transfer Oversight reports. This article includes a quick review of how the Sponsored Financial Reports web page is organized, how to locate the reports, and finally a preview of the new Salary Transfer Oversight reports. An example of this report is on page five.

The Sponsored Financial Reports on the Web are organized as follows:

By Audience/Level of Responsibility

- Principal Investigator (PI)
- Accountant
- Area/Department
- Area Class/College

By Period of Time

- Nightly Updated
- Month End
- Budget Period
- Flexible Period

By Category/Level of Information

- Oversight (High risk financial areas)
- High Level Summary (Total Direct and Indirect)
- Expense Category or Revenue Summary
- Detail: Personnel, Nonpersonnel, Budget

It is important to note the intended audience as well as the period of time the report was created for. Also important is that for each audience and period of time, various levels of information are available (oversight, high-level summary, expense category summaries, and detailed transactions). Understanding the intent and level of information presented is key to effectively navigating through the reports.

Report Access/Address

- The reports are located at: <http://financial.reports.umn.edu>.
- After clicking on the Sponsored button, a University x.500 ID and password are required.

{continued on next page}

What's New in Grants Management

An index to changes and announcements

March 2000

(month 9 of UM fiscal 2000)

SPA Update 0015: - Revised Managing Sponsored Projects Manual

Notice Issued: February 29, 2000

Supersedes: 9/1/99 version

Effective date: 2/29/00

Change: The sponsored project manual has been revised.

Action to take: Go to <http://www.ospa.umn.edu/manual/revision.htm>. Print out the new pages and substitute them for the appropriate pages in the manual.

New Web Sponsored Financial Oversight Reports

[continued from previous page]

The NEW Salary Transfer Oversight Reports

Below is an example of our newest Sponsored Oversight Reports: Salary Transfers. These reports target salary transfer activity and provide summaries of this activity at the Principal Investigator/Project, Area/Department, and Area Class/College levels. The period of time depends on the fiscal year selected. Reports generated for the current fiscal year will contain information updated through the accounting period most recently closed. Reports for prior fiscal years

1999 and 1998 may also be generated and are available for comparisons across fiscal years.

Questions or comments concerning these new reports should be directed to: The Office of Oversight, Analysis, and Reporting (OAR), Lisa Carlson, carls044@tc.umn.edu. The Financial Systems Help line is 612.624.1617.

University of Minnesota

Salary Transfers by Area Class/College

Lists Salary Transfers for a Selected Area Class and Fiscal Year

User Input: TCOS 2000

Note: If a column header is highlighted/underlined, you can CLICK on it for a definition
Please e-mail questions or comments to finreports@cafe.tc.umn.edu

Account Description

<u>Area Class:</u>	TCOS - College of Science
For Fiscal Year:	2000
through Accounting Period:	06
which ended:	Dec 31 1999

<u>Area</u>	<u>Area Name</u>	<u>YTD Number Salary Transfers</u>	<u>Total YTD Salary Transfer \$</u>	<u>Total YTD Salary Expenses \$</u>	<u>% YTD Salary Transfer \$ Salary Expense \$</u>	<u>Transfers Aged Over 6 Months</u>
123	DPT A	21	58,327.01	244,402.86	23.86	0
133	DPT B	33	29,446.51	70,479.30	41.78	1
143	DPT C	60	22,042.73	349,117.33	6.31	2
153	DPT D	22	20,033.46	127,007.47	15.77	0
163	DPT E	83	62,704.73	609,447.52	10.28	11
	Totals	219	192,554.44	1,400,454.48		14

Update:**Certified Approver Program**

The initial group of certified approvers had their first user group meeting in the Gateway Building on March 1, 2000. They were recognized for their appointment to this important role with an official certificate, an official stamp for use with paper documents (until such time as all documents are in Financial FormsNirvana), and a congratulatory letter from Christine M. Maziar, vice president for research. This group of individuals, as well as their colleagues who will join the group over the next several months, will play a key role in the ongoing implementation of the new sponsored projects

management model. Their user group will meet regularly to discuss issues and concerns that arise as the certified approver program continues to become operational across all colleges and departments. University officials expect implementation of this program across the University by June 30, 2000.

Please direct questions about the Certified Approver Program to 612.625. 9051, or go to the Office of Oversight Analysis and Reporting (OAR) web site at <http://www.oar.umn.edu>. See below for times and locations of the Certified Approver exams.

Certified Approver Examinations

Exam Schedule (on the web at <http://www.oar.umn.edu/CA/schedule.htm>)

March 2000 - June 2000

Preregistration Required

Class times:

Part 1: 8 a.m., 10 a.m., 1 p.m.

Part 2: 9 a.m., 1 p.m.

Exam schedule current as of February 2000

Locations are subject to change

<u>Date</u>	<u>Day</u>	<u>Part</u>	<u>Hours</u>	<u>Room</u>	<u>Date</u>	<u>Day</u>	<u>Part</u>	<u>Hours</u>	<u>Room</u>
March					May				
1	Wednesday	2	9-12; 1-4	215 Donhowe	2	Tuesday	1	8, 10, 1	186 HHH
6	Monday	1	8, 10, 1	555 Diehl	8	Monday	2	9-12; 1-4	186 HHH
13	Monday	2	9-12; 1-4	To be determined	16	Tuesday	1	9-12; 1-4	4-101 BSBE
22	Wednesday	1	8, 10, 1	110 St. Paul Student Center	23	Tuesday	1	8, 10, 1	4-101 BSBE
28	Tuesday	2	9-12; 1-4	555 Diehl	31	Wednesday	2	8-12; 1-4	4-101 BSBE
April					June				
3	Monday	2	9-12, 1-4	215 Donhowe	6	Tuesday	2	9-12; 1-4	4-101 BSBE
4	Tuesday	1	8, 10, 1	1-250 BSBE	13	Tuesday	1	8, 10, 1	4-101 BSBE
11	Tuesday	2	9-12; 1-4	To be determined	19	Monday	2	9-12; 1-4	215 Donhowe
17	Monday	1	8, 10, 1	215 Donhowe	20	Tuesday	2	9-12; 1-4	4-101 BSBE
25	Tuesday	2	9-12; 1-4	To be determined	28	Wednesday	1	8, 10, 1	215 Donhowe

U of M and Net Perceptions Turn Research into E-Commerce Company

What John Riedl and Joe Konstan, University of Minnesota computer science professors, and their graduate students started when they began researching collaborative filtering software in 1992, has blossomed into a company called Net Perceptions. This company has turned into a leading supplier of computer technology for e-commerce in the country.

Based in Eden Prairie Minnesota, Net Perceptions develops software to help businesses market their goods and services to customers on the Web. Here's how it works:

- A customer on the internet goes to a web site using Net Perceptions' software and is prompted to register or receive some sort of identifier.
- The web site may ask the customer questions about their likes and dislikes to build a profile for that individual.
- The software expands the customer's profile as it tracks items like where the customer browses and for how long, what they print, and what they buy.
- The software compares the customer's profile with the profiles of other individuals to determine where the customer's actions overlap with those of other individuals who visited the same web site. The company's web site can then use this information to display special discounts, reorder its presentation of sale items, or take other steps to increase the likelihood of a sale.

The software can also help the company's web site select advertisers' products or services that have the highest likelihood of being purchased by that customer. An example of this comes from a company called SkyMall, one of Net Perceptions' clients. A customer visiting the SkyMall web site, purchased an additional \$200 item after it was suggested to the customer

at the time of purchase, based on the information gathered by Net Perceptions' software.

Since the original technology for Net Perceptions was developed through research done at the University, officials are calling this a great illustration of how an idea can go from a research project to a company and product with direct benefits to the public.

"Net Perceptions is a really good example of faculty members doing it right," said Tony Strauss, assistant vice president of Patents and Technology Marketing (PTM) for the University. "They had business partners lined up with a good business plan. They had done all their homework ahead of time so they were ready to go with their start-up company when they came to see us," said Strauss.

"Our experience working with PTM went very well," said Riedl. "We were one of the first equity deals giving the University a chunk of ownership into our company. Tony and the PTM staff moved heaven and earth to get the agreement done as quickly as possible," said Riedl.

The University benefits from Net Perceptions' success through its equity in the company and also under an agreement where the University will receive money from Net Perceptions for future research.

Professor Riedl commented on the challenges of being both a professor and entrepreneur. "Many professors don't realize the level of effort it takes to have a major role in a start-up company. It takes a very serious commitment," said Riedl. "It takes as much energy and creativity to drive the management of a new company as it does to drive the research behind the company. The University was very supportive of my leave of absence to set up Net Perceptions, and now, even though I'm

still very involved in the company, I love being back at the University as a full-time faculty member."

According to Strauss, "Professors Riedl and Konstan promptly disclosed and effectively dealt with any issues of potential conflicts between their roles as University faculty members and their involvement with Net Perceptions."

Net Perceptions is also receiving national acclaim for its software and work. In May 1999, the company received the first Massachusetts Institute of Technology Sloan E-Commerce Technology Innovator Award recognizing innovations that "show the most potential to further the evolution of Web-based commerce." And last fall, three of the company's founders were awarded the World Technology Award for Commerce in London for being among the individual leaders worldwide most contributing to the advance of emerging technologies for the benefit of business and industry. Net Perceptions has also been part of national news pieces airing on NBC's Dateline and ABC's Nightline television shows.

Current clients, partners, and collaborators of Net Perceptions include Amazon.com, Art.com, CDNow, E!Online, Micron, SkyMall, Sony Electronics Inc., Tower Records, and Ticketmaster Online, Kraft Foods, Carlson Companies, BroadVision Inc, and Wine.com.

Paying Attention to the Details of Material Transfer Agreements (MTAs)

In the world of academic research, sharing research reagents and materials is an everyday occurrence. It is also important to note that this is a necessary and accepted practice. However, almost every academic institution and all companies are paying much more attention to transfers of materials and the disposition of intellectual property rights associated with the work done with the transferred materials. It is important to understand the procedures set up at the University of Minnesota to expedite these agreements as well as ensure compliance with research agreements and protection of University intellectual property (IP) rights.

Sending Materials Out

When University of Minnesota personnel send out materials to an academic or industrial colleague, the Patents and Technology Marketing staff assists with these agreements. This is to ensure our IP rights are protected if there is: (a) existing IP relating to the materials or (b) the potential to create new IP. Transfers between academic (and other nonprofit) researchers are usually handled through a master agreement that most institutions have already agreed to, called the Uniform Biological Material Transfer Agreement (UBMTA—see <http://www.atum.net/ubmta/index.html>). The PTM staff also has agreements to use when transferring materials to a company. Please contact a member of the PTM staff (<http://www.ptm.umn.edu>) to initiate transfers of your material to a colleague.

Receiving Materials

If you are to receive materials from an outside source, a grant administrator in the Sponsored Projects Administration (SPA) will handle the material transfer agreement. The reason SPA handles these requests is that the use of incoming materials will affect an ongoing sponsored research project and will need to be accounted for, in most cases.

In order to get these MTAs started, the University of Minnesota requestor should send in an MTA Routing and Approval Form (<http://www.ospa.umn.edu/forms>) along with a copy of the MTA agreement proposed by the sender. It is important that the funding agency account number be identified on the MTA Routing and Approval Form. If the funding source for the research changes at any point, it is essential that a new MTA Routing and Approval Form be submitted with this information. The agreement and MTA Routing and Approval Form are then forwarded to a grant administrator to negotiate and finalize.

Consequences of MTAs for Inventions

Researchers who perform experiments with materials from outside collaborators need to be aware of the possible consequences. Most MTAs have provisions for management of inventions created using someone else's materials. In a case where company materials are used, the company may have a right of first refusal to license new inventions created with their materials or may have other rights to those inventions. In the case where materials are used from another academic or nonprofit organization under UBMTA, the University would need to negotiate a license with that organization before we could license companies to use our inventions concerning the material or modifications. An area of high concern and potential problems is when materials from two different sources are used in a project. In that case, it is likely that both sources will have some rights in the results of the project and those rights will conflict.

Materials Transferred without an MTA

Researchers occasionally exchange materials without an MTA. This can create significant problems. If you send material out without an MTA, the

recipient may be able to use and transfer the materials and the research results without any restrictions. This may negate the licensing value of the materials for you and the University and may violate obligations that you and the University have concerning those materials if they were obtained from someone else or developed with sponsored funds. If you receive materials without an MTA, the provider may have unspecified assumptions concerning the use of the materials and the results, which can cause problems if the results have commercial value.

New NIH Guidelines

Recognizing the importance of the transfer of "research materials" to academic research, the National Institutes of Health (NIH) recently issued "Principles and Guidelines for Recipients of NIH Research Grants and Contracts on Obtaining and Disseminating Biomedical Research Resources." These are guidelines, not mandatory rules. However, they do address the issues and concerns NIH sees and specifies NIH's recommendations. The document can be found at http://www.nih.gov/od/ott/RTguide_final.htm.

The lesson from the above information is that it is good practice to follow the systems set up at the University of Minnesota regarding management of MTAs. The outcome of a properly structured MTA is a clear understanding of who owns what if valuable IP is created. Please keep this in mind when contemplating obtaining or providing materials from outside sources.

If you have questions about Material Transfer Agreements, please contact the Patents and Technology Marketing office at 612.624.0550 or go to their web site at <http://www.ptm.umn.edu>.

*Michael Moore, Director
Tony Strauss, Interim Assistant VP
Patents and Technology Marketing*

More Information

To generate copies of NIH and NSF application forms, please go to EGMS at <http://nirvana.ospa.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>, or to NSF at <http://www.nsf.gov/cgi-bin/getpub?nsf003>
(For help, call the EGMS help line at 612.624.1600.)

For funding searches

Please contact the Office of the Vice President for Research
612.625.7585; facgrant@gold.tc.umn.edu
<http://www.research.umn.edu/research.html>.

To link directly to the web sites listed, go to the *Research Review* web site at <http://www.ospa.umn.edu/resrev.htm>.

Office for University Women

* Special Grants Program

For projects designed to implement recommendations from the Women in Higher Education Teleconference. Of particular interest will be projects that reflect the values of inclusion, community, recognition, celebration, collaboration, and partnership.

The deadline is **April 28, 2000**. To request an application or for more information go to <http://www.umn.edu/women>, call 612.625.2385 (x3) or e-mail women@tc.umn.edu.

Department of Defense

* University Optoelectronics Centers

Proposals from teams of academic research are solicited to establish optoelectronics centers, focusing on the application of optoelectronic and photonic technologies in future generations of sensing, information access, and information processing systems.

This is a four-year effort, with funding estimated at approximately \$30 million.

A proposal abstract is encouraged, but not required, by **March 20, 2000**. Full proposals are due **May 1, 2000**. Go to <http://fundingopps2.cos.com/cgi-bin/getRec?id=48134>.

* Advanced Technologies-Communications

Advanced research and design of system and sub-system level technologies in the communications technology area, for integration into the operational environment.

Proposal abstracts are requested but not required. Abstracts were due **February 11** for the **March 31, 2000** proposal deadline, and are due **June 26** for the **August 4, 2000** deadline. Go to <http://cbd.cos.com/cgi-bin/getRec?id=20000202a5>.

Alcoholic Beverage Medical Research Foundation

* Multidisciplinary Research

Funding is provided for interdisciplinary research in the biological, medical, epidemiological behaviors, and social sciences to support innovative research on the use, and prevention of misuse, of alcoholic beverages. There are several different programs:

Research Project Grants – funding for a specific, original, research project.

Pilot/Preliminary Studies – To conduct preliminary studies to determine the feasibility of conducting a study of interactions of biological and behavioral variables which would result in a larger and more expensive research project.

New Scientist Awards – career development of high promising new scientists just entering the field.

Project Supplement Grants – to enrich an ongoing research project by providing funds to expand it.

Data Analysis Grants – for the analysis of previously collected data.

The next deadline is **September 1, 2000**. Go to <http://www.abmrf.org/grants/html>.

Packard Foundation

* Children, Families, and Communities

For projects that increase the availability and quality of early care and education for children from low-income families and that increase the availability and quality of out-of-school programs for older children and youth.

Letters of inquiry are accepted at any time and should be submitted before a full proposal. Full proposals are due **March 15, June 15, September 15, and December 15, 2000**. Go to http://www.packfound.org/html/children_families_and_commun.html.

Ford Foundation

- * Education, Media, Arts, and Culture

Program units are:

- Education, Knowledge, and Religion
- Media
- Arts and Culture

There are **no deadlines**. A brief letter of inquiry is requested before submission of a full proposal. Go to <http://www.fordfound.org/program/edu.cfm>.

McDonnell Foundation, James

- * Bridging Brain, Mind, and Behavior

Provides support for research addressing questions which require spanning the different levels of analysis characterizing neurobiological or cognitive studies with observations obtained from behavioral research.

Letters of inquiry are accepted **year round**. Go to <http://www.jsmf.org/programs/21stcentury/BMBB/CollaborativeActivityDescription.htm>.

U.S. Department of Education

- * Jacob K. Javits Gifted and Talented Students Education Program
CFDA 84.206A

To help build a nationwide capability in elementary and secondary schools to identify and meet the special educational needs of gifted and talented students; to encourage development of challenging curricula for all students; and to supplement and make more effective expenditures of funds for the education of gifted and talented students.

The application deadline is **April 24, 2000**. Go to <http://ocfo.ed.gov/fedreg.htm> or <http://www.ed.gov/news.html>.

BFGoodrich

- * Collegiate Inventors Program

Student winners now receive \$20,000; advisors, \$10,000.

Applications are due **June 1, 2000**. Go to <http://www.invent.org/collegiate>.

National Science Foundation

- * NSF Graduate Teaching Fellows

Supporting fellowships and associated training that will enable graduate students and advanced undergraduates in the sciences, mathematics, engineering, and technology to serve in K-12 schools as resources.

A letter of intent is required by **April 3, 2000**; full proposals are due **May 1, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0046>.

- * Alliance for Graduate Education and the Professoriate

To increase the number of minority students pursuing advanced study, obtaining doctoral degrees, and entering the professoriate in NSF-supported disciplines. Allied participants are expected to engage in comprehensive institutional cultural changes that will lead to sustained increases in the conferral of doctoral degrees.

Only one proposal may be submitted per institution or alliance.

The application deadline is **May 11, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0053>.

- * New Technologies for the Environment

To sponsor high-risk, high-return exploratory research feasibility studies on new technologies applied to the environment. This announcement focuses on technologies to environmental sensing, remediation, and environmentally benign manufacturing.

Only one proposal may be submitted by any one principal investigator.

The application deadline is **May 15, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0049>.

- * Research Coordination Networks in Biological Science

To encourage and foster communication and collaboration among scientists with common goals and interests in biological science. The focus could be

on a broad research question, a specific group of organisms, or particular technologies or approaches.

Full proposals are due annually on the last Friday in June: **June 30, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0056>.

American Cancer Society

- * Institutional Research Grant

The American Cancer Society (ACS), through the University Dean's Committee for the ACS Institutional Research Grant and the University of Minnesota Cancer Center, announces the availability of individual Institutional Research Grants. The stated goal of the American Cancer Society is to "foster meritorious research on cancer that cannot be supported through other available types of support". The purpose of the individual grants is to provide "seed" money to permit the initiation of promising new projects or novel ideas by junior faculty investigators.

Individual awards are up to \$20,000 in direct costs. Eligible applicants must be Assistant Professors or Instructors and must not have received a prior ACS Institutional Research Grant or have a current competitive national research grant.

Grants are available to anyone engaged in cancer-related research at the University who meets the above criteria. Cancer-related research includes analysis of developmental biology, gene regulation, or alteration of intracellular or extracellular processes which may lead to an improved understanding and/or therapy of potential or actual oncogenic events in prokaryotic or eukaryotic cells.

The application deadline is **April 1, 2000**. Instructions and application forms are available from the University of Minnesota Cancer Center, Room 460, Cancer Center Research Building, 612.626.1926.

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Research Subjects' Protection Programs, fax 612.626.6061; web: http://irb@umn.edu / http://iacuc@umn.edu		
Director	Moirá Keane	626.5654 keane002@tc.umn.edu

Instructions on Changing Addresses

SPA cannot change the faculty mailing list. It is a list we *buy* monthly.

(Faculty mailing labels are those with a string of seven numbers printed above the addressee's name.)

This list is generated by Human Resources and changed in your department.

For faculty-list changes, please call your departmental payroll or Human Resources coordinator.
For changes regarding *other* labels (no numbers above the name), please complete the following:

Change Name: _____

Add Department: _____

Delete Building & Room No.: _____

Mail Delivery Code (if on campus): _____

City, State, Zip (if off campus): _____



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Research Review



Sponsored Projects Administration
Patents and Technology Marketing
Oversight Analysis and Reporting

April 2000

Volume XXIX, Number 4
<http://www.ospa.umn.edu/resrev.htm>

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Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of the month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, erick210@tc.umn.edu.

Sponsored Projects Administration SNAP Now Available in EGMS

With the National Institutes of Health (NIH) restoration of the University's expanded authorities, PIs must now submit their NIH applications under the Streamlined Noncompeting Award Process (SNAP). This streamlined proposal process changes the NIH noncompeting proposal form. The SNAP application is now available in EGMS at <http://nirvana.ospa.umn.edu>.

When using EGMS to prepare a proposal, the preparer needs to select noncompeting continuation under the proposal type section on the proposal settings screen and then check the box labelled SNAP. EGMS will prompt the preparer to provide the correct information, complete the necessary forms, and meet the SNAP requirements. EGMS will generate the forms needed for a SNAP proposal.

Requirements for a SNAP proposal

- a face page (form page one) leaving the dollar totals for items 9a and 9b blank
- a biographical sketch (form page four) for new key personnel *only*
- the personnel report (form page seven)
- a checklist page (form page six) only if there is a change in performance site(s) affecting facilities and administrative (indirect) costs or program income.
- the progress report beginning on form page five with the four questions; the four questions and any tables and figures to summarize key accomplishments *should not* be included as part of the two-page limit for the progress report length.

Preparers must also answer the following four questions at the beginning of form page five. Preparers should use blank pages for the progress report if inadequate space remains on form page five to answer the questions and to begin the report on the research progress.

(continued on page 6)

EGMS Use

	Totally Electronic Proposal	Manual Proposals with Electronic Routing Form	Totally Manual
September 1998	2.2%	18.6%	79.2%
September 1999	13.0%	44.4%	42.6%
January 2000	21.0%	76.0%	3.0%

RESEARCH REVIEW

Volume XXIX, Number 10

April 2000

Editor: Bruce Erickson

Editorial Assistant: Tove Jespersen

Associate Vice President: Ed Wink

Research Review is a monthly publication of the office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 450 Gateway Building, 200 Oak Street SE, Minneapolis, MN 55455-2070, or call Bruce Erickson, 612.625.2354, erick210@tc.umn.edu, or Tove Jespersen 612.624.0061, tove@tc.umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New rates effective July 2000

TA, RA, AF: standard of gross salary	\$5.28/hr	+	9.8%
TA, RA, AF: advanced master's or Ph.D.	\$.88/hr	+	9.8%
Summer session semester TA, RA, AF	—		9.8%
Summer session TA, with tuition	\$12.51/hr	+	9.8%
Summer session TA, without tuition	—		9.8%
Professional program assistant	—		9.8%
Dental fellow *	\$3.35/hr		—
Medical fellow *	\$2.64/hr		—

To the rates listed above, add 7.7% to the 9.8% when a graduate student is enrolled for fewer than 3 credits, or less than 1 credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

Other Job Classes

	Civil Service	Academic	Post-doc class #9546	Graduate Assistant
7/1/99 - 6/30/00	24.4%	27.6%	14.2%	15.3%
7/1/00 - 6/30/01	27.7%	27.5%	15.4%	17.5%
7/1/01 - 6/30/02	30.3%	31.1%	tba	21.1%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009.

Complete details of fringe benefit rates for all classes of UM employees are available at http://www.fpd.finop.umn.edu/groups/ppd/documents/rates/fringe1999_2000.cfm.

Rate changes will be reflected in this section.

Facilities & Administrative (F&A) (Indirect Cost) Rates

The rates listed at right come from the University's most recent F&A/indirect cost agreement, dated **December 16, 1999**. This date should be used where required on applications.

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration at 612.624.5599. If you have questions on F&A/indirect cost rate development, please call Steve Bradley, 612.626.9895.

* A project is considered off-campus if more than 50 percent of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University.

Research (MTDC base)

On-campus	48.00%	FY 2000
	48.50%	FY 2001-03
Off-campus*	26.00%	FY 2000-03
SAFL on-campus	59.00%	FY 2000-03
SAFL off-campus*	26.00%	FY 2000-03
Hormel on-campus	50.00%	FY 2000-03
Hormel off-campus*	26.00%	FY 2000-03

Other Sponsored Activity (MTDC base)

On-campus	32.00%
Off-campus*	26.00%

Instruction (MTDC base)

On-campus	52.00%
Off-campus*	26.00%

MTDC (Modified Total Direct Cost):

Total direct cost minus:

- graduate student fringe benefits
- equipment
- capital expenditures, e.g., new building construction
- charges for patient care
- tuition remission
- rental costs of off-site facilities
- scholarships and fellowships
- the portion of each subgrant and sub-contract in excess of \$25,000

For more information on equipment and subgrants and subcontracts in excess of \$25,000, see the April 1999 *Research Review*, or go to <http://www.ospa.umn.edu/resrev.htm>.

National Institutes of Health

Revisions to Salary Limitation for Grants, Cooperative Agreements and Contracts

NIH recently revised its legislatively mandated salary limitation on awards for grants and cooperative agreements as well as extramural research and development contracts. This supersedes the last NIH notice published on December 22, 1998. These provisions also include sponsored agreements funded by Substance Abuse and Mental Health Services Administration.

The new mandated salary limitations will affect the following processes:

- Budgeting salaries in proposals and applications
- Establishing cost sharing requirements and notifying SPA Effort unit of any changes to cost sharing levels
- Ensuring proper certification of quarterly effort statements
- Completing accurate financial reports at the end of budget periods or termination, including any impact resulting from these revisions
- Completing necessary salary cost transfers

In summary, the following table reflects the time frames associated with the existing salary caps:

<u>NIH FY 1999 Awards</u>	<u>Direct Salary Limitation for Period</u>
October 1, 1998 - December 31, 1999	\$125,900
January 1, 2000 and beyond	\$130,200
<u>NIH FY 2000 Awards</u>	<u>Direct Salary Limitation for Period</u>
October 1, 1999 - December 31, 1999	\$136,700
January 1, 2000 and beyond	\$141,300

NIH Implementation of New Salary Limitations:

- No adjustments will be made to modular grant applications/awards or to previously established commitment levels for noncompeting grant awards issued with FY 2000 funds;
- If adequate funds are available in active FY 1999 awards, grantees may rebudget to accommodate new NIH salary levels and contractors may bill at the higher level;
- An individual's base salary is not constrained by the NIH salary limitation; an institution may supplement an individual's salary with nonfederal funds;
- The salary limitation does NOT apply to payments made to consultants;
- The salary limitation provision *does* apply to subawards and subcontracts for substantive work under an NIH grant or contract;
- Competing grant applications and contract proposals that include a categorical breakdown in the budget figures/business proposal should continue to reflect the actual institutional base salary of all individuals for whom reimbursement is requested; NIH staff will make the necessary adjustments to requested salaries at the time of award.
- Salary may be charged in accordance with the prevailing FY cap(s), as long as the levels are consistent with the individual's institutional base pay;

Inquiries and Resources

- Please call your SPA grant administrator with questions;
- The full revision text, including examples, is available from the NIH website at <http://grants.nih.gov/grants/guide/notice-files/not-od-00-011.html>.
- Sponsored Financial Reporting (SFR) staff will review compliance with NIH salary limits annually, and initiate salary adjustments with departments, if necessary.

Sponsored Projects Administration Reminder

Indirect Costs to be Charged on First \$25,000 of Subcontracts and Consortium Agreements

Effective July 1, 1999, all new or competing renewal awards have had indirect costs taken on the first \$25,000 of each subcontract per project period. This announcement was made in the April 1999 edition of the *Research Review*.

If you need to submit a noncompeting application for one of these awards, you may need to include subcontract costs in your indirect cost base. These costs may need to be included if the \$25,000 limit has not been reached. EGMS has been modified to allow you to do this calculation. Call the EGMS helpline (612.624-1033) or your grant administrator if you have any questions.

EGMS Electronic Signatures

To enable your department to route proposals and PRFs electronically using EGMS, your department needs to name an individual to be the division administrator. The following information will help administrators get started.

Getting Started

Initial Set Up

1. Send an e-mail to the EGMS office (egms@ospa.umn.edu) requesting the department be set up in EGMS.
 - The e-mail should be sent by the dean, department head, or designee per roles and responsibilities.
 - The e-mail should include the name of the person identified to be the department division administrator and the name of the division.
 - The division may be named in any way but is limited to 30 characters, is case sensitive, and must be unique. Hint: Keep the division name short and easily recognizable.
2. Call Training Services at 612.626.1373 to register for class (required for all EGMS Division Administrators).

Division Set Up

1. The division administrator attends training class, bringing a copy of the e-mail sent by the dean or department head (see above), and their X.500 ID and password to class. Their division will be set up in the class.
2. The division administrator identifies who will need access to EGMS electronic routing and at what level.

{next column}

User Set Up

1. The division administrator sets up each user using the FormsNirvana Access (FNA) form (see EGMS FormsNirvana Reference book page 16).
 - All department users will have at least preparer access.
 - Users approving a PRF should be set up with preparer and approver access. (Note: PIs and Co-PIs should always be set up with preparer and approver access).
2. Train users as needed:
 - How to use EGMS.
 - How to establish a routing chain.

EGMS Division Administrator Responsibilities

EGMS Division Administrators are responsible for setting up users, establishing and communicating procedures, and monitoring use of EGMS FormsNirvana. Administrators should consider the following questions when while attending EGMS Division Administrator training.

Initial Set Up of Users:

- Who needs access? At what level?
- Have all the PIs and Co-PIs been given preparer and approver access?

Establish and Communicate Procedures:

- Do the approvers know how to establish a routing chain?
- Are the departmental procedures for using EGMS FormsNirvana documented and communicated?
- Have procedures been established and communicated for use of alternate approvers?

Patents and Technology Marketing

New Staff

Charanjeet S. Guron joined the University of Minnesota's Patents and Technology Marketing (PTM) staff on March 27 as a licensing associate in the area of health technologies. Guron holds an MBA in Marketing and Finance from the University of Rochester, and a Ph.D. in Human Genetics from the All-India Institute of Medical Sciences. He did his postdoctoral work in Molecular Biology at the University of Tennessee, Memphis and the University of Rochester. Prior to joining PTM, Guron worked for the Office of Technology Transfer, University of Miami. He may be reached at 612.625.8352.

- Does the division administrator have the knowledge, skills, and ability to function as the first point of contact?

Monitor Use of EGMS FormsNirvana

- Is the PRF being completed correctly?
- Are the PRFs being used per department procedures (samsara versus approved)?
- Are all PRFs resolved in a timely manner?
- Are routing chains being established correctly?
- On how many proposals is a PI listed?
- Are users doing their own monitoring?
- Do additional users need to be set up?
- Do additional divisions need to be set up?
- Do new procedures need to be established?

Certified Approver Program

Please direct questions about the Certified Approver Program to 612.625. 9051, or go to the Office of Oversight Analysis and Reporting (OAR) web site at <http://www.oar.umn.edu>. See below for times and locations of the Certified Approver exams.

Certified Approver Examinations

Exam Schedule (on the web at <http://www.oar.umn.edu/CA/schedule.htm>)

April 2000 - June 2000

Preregistration Required

Class times:

Part 1: 8 a.m., 10 a.m., 1 p.m.

Part 2: 9 a.m., 1 p.m.

Exam schedule current as of February 2000

Locations are subject to change

Date	Day	Part	Hours	Room
April				
3	Monday	2	9-12, 1-4	215 Donhowe
4	Tuesday	1	8, 10	1-250 BSBE
11	Tuesday	2	9-12; 1-4	110 StP Stu Cntr
17	Monday	1	8, 10, 1	215 Donhowe
25	Tuesday	2	9-12; 1-4	110 StP Stu Cntr
May				
2	Tuesday	1	8, 10, 1	186 HHH
8	Monday	2	9-12; 1-4	186 HHH
16	Tuesday	2	9-12; 1-4	4-101 BSBE
23	Tuesday	1	8, 10, 1	4-101 BSBE
31	Wednesday	2	8-12; 1-4	4-101 BSBE
June				
6	Tuesday	2	9-12; 1-4	4-101 BSBE
13	Tuesday	1	8, 10, 1	4-101 BSBE
19	Monday	2	9-12; 1-4	215 Donhowe
20	Tuesday	2	9-12; 1-4	4-101 BSBE
28	Wednesday	1	8, 10, 1	215 Donhowe

Different Look for the NOGA

To help SPA become more efficient and effective at providing research administration support to investigators and departments, SPA and Arthur Andersen staff developed a new version of the NOGA. This new interim NOGA form contains most of the information required on the old form but it will expedite the award set-up process by not restating the special provisions that apply to the award. Instead, it will document the page number or section of the agency notice of award that the investigator and department should refer to if they have questions on a particular topic. For example, the revised NOGA would list:

Section/Page: Page 3 Description: Rebudgeting requirements

Fringe Benefit Rates by Component

	Civil Service	Academic	Graduate Assistant
1999-2000 Actual			
Retirement	4.0%	13.8%	—
Group Life & Disability	—	0.6%	—
Workers Compensation	—	—	—
Unemployment	0.2%	0.1%	—
Social Security	6.2%	5.1%	6.2%
Medicare	1.5%	1.5%	1.5
Tuition	1.0%	0.2%	**
Health Insurance	<u>11.5%</u> 24.4%	<u>6.3%</u> 27.6%	<u>7.6%</u> 15.3%
2000-2001			
Retirement	4.1%	13.5%	—
Group Life & Disability	—	0.4%	—
Workers Compensation	0.4%	—	—
Unemployment	0.1%	0.0%	—
Social Security	6.2%	4.4%	6.2%
Medicare	1.5%	1.5%	1.5%
Tuition	1.0%	0.1%	**
Health Insurance	<u>14.4%</u> 27.7%	<u>7.6%</u> 27.5%	<u>9.8%</u> 17.5%
2001-2002 Projected			
Retirement	4.1%	14.1%	—
Group Life & Disability	—	0.5%	—
Workers Compensation	0.8%	—	—
Unemployment	0.2%	0.1%	—
Social Security	6.2%	4.9%	6.2%
Medicare	1.5%	1.5%	1.5%
Tuition	0.9%	0.3%	**
Health Insurance	<u>16.6%</u> 30.3%	<u>9.7%</u> 31.1%	<u>13.4%</u> 21.1%

**Graduate Student tuition remission is a flat charge per hour the student works.

This new NOGA will enable SPA staff to send the information on to departments more quickly. Copies of the award notice will be included in the information sent to the investigator.

Update**Project SPA**

Project SPA team members and Arthur Andersen gave SPA staff an update in March on the status of Project SPA - Implementing Quick Hit Improvements. The update focused on the tasks staff completed in the main areas of the project including:

Business Processes

- drafting new internal policies and procedures to simplify and standardize the following processes: award set-up; contract review, negotiation and acceptance; subcontract review, negotiation and acceptance; and subcontract oversight
- developing a new NOGA for use on an interim basis to help SPA staff process awards more efficiently and giving investigators award summary information more quickly
- building standardized templates for SPA staff to use when communicating with investigators, departments, and sponsors

Technology

- creating a comprehensive internal EGMS workplan focusing on five key phases: analysis, design, development, test, and rollout

Recruitment, Personnel, and Training

- developing a SPA competency model identifying seven core competencies for all SPA personnel: communication, customer service orientation, problem solving, results oriented, self management, teamwork and SPA knowledge

Due to the success of the project, the University is retaining Arthur Andersen staff for a few more months to help SPA reduce the current award set-up backlog and to continue working on the goals of Project SPA.

SNAP Now Available in EGMS

(continued from page 1)

1. Has there been a change in *other support* of key personnel since the last reporting period?
 Yes (Please provide updated other support pages for affected personnel)
 No
2. Will there be, in the next budget period, *significant rebudgeting of funds* from what was approved for this project?
 Yes (please explain)
 No
3. Will there be, in the next budget period, a *change in the level of effort* for key personnel from what was approved for this project?
 Yes (please explain)
 No
4. Is it anticipated that an estimated *unobligated balance* (including prior year carryover) will be greater than 25 percent of the current year's total budget?
 Yes, (please explain)
 No

Principal investigators are strongly encouraged to use EGMS to complete proposals. EGMS incorporates the noncompeting SNAP format, so investigators don't need to worry if they are completing the SNAP application correctly. However, if EGMS is not used, PIs will still need to complete a full budget for University purposes, and follow the SNAP format for the NIH application.

Please see the complete instructions for SNAP proposals at http://grants.nih.gov/grants/funding/2590/section_2.html. For questions or assistance, please contact appropriate SPA grant administrators.

Institutional Animal Care and Use Workshops

The Institutional Animal Care and Use Committee will hold workshops on completing the Animal Usage Form on Tuesday, April 18 and Tuesday May 30 from 1-3 p.m. in D-528 Mayo (Research Subjects Protection Program offices). Call

626.5654 to sign up for a session. A web-based tutorial is also available at <http://www.research.umn.edu/subjects/animals/training/aftutorial.html>. Individual consultation may be arranged with Dale Cooper by calling 612.625.0499, coope019@tc.umn.edu.

What's New in Grants Management

An index to changes and announcements

April 2000

(month 10 of UM fiscal 2000)

This month there are no changes or announcements regarding grants management.

Sponsored Projects Administration Thank You

Many thanks to the departments who assisted us in meeting NSF's Information Technology Research (ITR) deadline. This deadline required full electronic submission via FastLane, including scanned certification pages and signed subcontract budget pages, in addition to the documents that are normally scanned. It was a great help to receive several of these proposals early so we could scan the required documents in advance. Hopefully, if full implementation of these submission requirements is mandated, there will be a more streamlined process available in FastLane. This would alleviate the logjam that occurs as the deadline approaches.

National Science Foundation Synergistic Activities

Synergistic activities is a new section in the Biographical Sketch section of all NSF proposals for the year 2000. These activities are considered an important part of the review criteria. The following requirement is from the National Science Foundation (NSF) Grant Proposal Guide (NSF 00-2).

Synergistic activities are a list of up to five examples that demonstrate the broader impact of the individual's professional and scholarly activities that focus on the integration and transfer of knowledge as well as its creation. Examples could include: innovations in teaching and training (e.g., development of curricular materials and pedagogical methods); contributions to the science of learning; development and/or refinement of research tools; computation methodologies, and algorithms for problem-solving; development of databases to support research and education; broadening the participation of groups under-represented in science, mathematics, engineering, and technology; and service on national boards and committees.

There is no set format for the synergistic activities at this time. All other requirements of the Biographical Sketch section of the proposal remain unchanged. Please note in particular that the page limit is still two pages.

National Science Foundation Additional Help on Your FastLane Submission - Q and A

Subcontract Budgets

How do I complete a subcontract budget?

On the "Form Selector" screen, select "Budgets" and "Go To Form". On the "Institution Selector" screen click on "Add New Inst.", and pull up the subcontract institution. Then on the "Institution Selector" screen, click on "Use" to create a budget for an institution. You will need to add the subcontract total amount of the request to item G.5 Subawards of the PI's Awardee Institution budget.

The subcontract institution can access the proposal budget in several ways, e.g., through proposal PIN, through a Co-PI at the substitution, or via passing around the FastLane budget as a spreadsheet.

The NSF Grant Proposal Guide requires that the subcontract budget be signed and mailed by the PI's awardee institution along with the PI's awardee institution cover sheet.

Current and Pending Support

I get this error message: "At least one of the month counts must be greater than zero on the support form for this project." I have entered all zeros for the months. Why am I getting this error message?

The NSF Grant Proposal Guide states: "The proposed project and all other projects or activities requiring a portion of time of the PI and other senior personnel should be included, even if they receive no salary support from the project(s)." This means that if the project does not require a portion of your time, you should not be filling out a current and pending support form for the project.

Excerpts from FAQs: Additional Help on Your FastLane Submission located at <http://www.nsf.gov/od/oi/ia/faqs/mrifastln.htm>.

Research Subjects' Protection Programs

Assuring the Security of People and Animals: A Reminder

Reprinted from the May, 1999 Research Review

Assuring the security of people and animals at the University is even more important in light of last year's vandalism by the Animal Liberation Front. University administration continues to assess security, access, and safety, and to make thoughtful, reasoned plans for all our facilities.

While the University Police are charged with security for all University property, we all have a personal responsibility to do what we can to assure a safe working and learning environment. It is a myth that because we are a public institution we must have open access to all our space. Research space is not public space.

The following suggestions are no-cost ideas to enhance security in your work area. These steps can help ensure personal and property safety.

- Establish a "neighborhood watch" model for research facilities. Get to know your neighbors in your building or area. Meet and discuss strategies for assuring the safety of your space. Much research is conducted after hours. So find out when research labs are expected to be in use and when they should be unoccupied. Report any deviations. Know when staff are scheduled to handle animal care and charge those individuals with checking for locked doors and corridors.
- Revise departmental policies to make securing your area an important performance expectation. Warn employees that failure to comply with standards could result in discipline.
- Outlaw the practice of propping external doors open. Convenience is no excuse for a security breach.
- Look for, question, and report unknown persons in unusual locations.
- Report graffiti or other signs of vandalism immediately to University Police.
- Require staff to wear identification. Question people who aren't wearing identification. If the situation is intimidating, don't confront but *CALL THE POLICE*. Chief of Police, George Aylward assured us that the police would prefer to respond to calls about suspicious behavior and intervene before a problem arises, rather than deal with the aftermath of vandalism or theft.
- Lock every door you are responsible for whenever staff are not present.
- Secure valuable data in locked cabinets or drawers in all laboratories and office space.
- Implement protocols for back-up of computer data and off-site storage.
- Lock away all videotapes or photos of animals used in research.
- Avoid the impulse to be "nice" and hold the door for a stranger in a secured area. Ask the person to self-identify or show their access card.
- Report any suspicious activity to the police.
- Use the University system for security monitors. The University has a staff of Security Monitors (624.WALK) who provide a uniformed escort for the campus community. These monitors will meet you and escort you to your destination. If you expect to be in an isolated area alone, you can arrange for a security or "welfare check" where the monitor can stop back and check on you at a prescribed time.
- Call for a monitor for short distance escorts if you are planning to transport animals or sensitive equipment.
- Arrange for special arrangements or a regular patrol schedule by calling University Police.

Direct questions about general security to the University Police at 624.3550.

by Moira Keane, Director
Research Subjects' Protection Program
612.626.5654

Institutional Review Board: Human Subjects Committee

Based on new federal regulatory initiatives, the IRB must review a copy of the federal grant application for all IRB applications. The IRB will remind researchers of this requirement, but to avoid delays in processing requests for approval, please provide a copy with your submission. The IRB will return the grant application after review and verification.

The following is an explanation of the federal directive from the Office for Protection from Research Risks (OPRR):

HHS regulations at 45 CFR 46.103(f) require that the IRB review each "application or proposal" for HHH-supported human subject research. OPRR's concern about review of grant applications stems from repeated identification over the past two years of examples in which the research described in the grant application differed significantly, in ways important to the protection of human subjects, from the supposedly corresponding protocol that the IRB had reviewed and approved. OPRR expects that the IRB will receive, and at least the primary IRB reviewer will review, the complete grant application as submitted to the HHS-supporting agency. OPRR is developing guidance to help IRBs understand what to look for in conducting such reviews.

Tom Puglisi, PhD, Director
Division of Human Subject Protection
Office for Protection from Research Risks

Direct questions concerning the use of human subjects in research to irb@umn.edu or call Moira Keane at 612.626.5654.

More Information

To generate copies of NIH and NSF application forms, please go to EGMS at <http://nirvana.ospa.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>, or to NSF at <http://www.nsf.gov/cgi-bin/getpub?nsf003> (For help, call the EGMS help line at 612.624.1600.)

For funding searches

Please contact the Office of the Vice President for Research 612.625.7585; facgrant@gold.tc.umn.edu <http://www.research.umn.edu/research.html>.

To link directly to the web sites listed, go to the *Research Review* web site at <http://www.ospa.umn.edu/resrev.htm>.

National Science Foundation

- * Interagency Education Research Initiative
NSF 99-84

To improve pre-K-12 student learning and achievement in reading, mathematics, and science by supporting interdisciplinary research on large-scale implementations of promising educational practices and in complex and varied environments.

Up to 25 awards will be made. Letters of intent are due **April 19** or **October 2, 2000**; full proposals are due **June 9, 2000** or **February 2, 2001**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0074>.

- * Course, Curriculum, and Laboratory Improvement
NSF 00-63

To improve the quality of science, mathematics, engineering, and technological education for all students by targeting activities affecting learning environments, course content, curricula, and educational practices. There are three tracks: 1) Educational Materials and Development (EMD), 2) Adaptation and Implementation (A&I); and 3) National Dissemination (ND).

Up to 300 awards will be made. Track 1 proposals (EMD) are due **June 6, 2000**; Track 2 proposals (A&I) are due **June 5, 2000**; a preliminary project description for Track 3 proposals (ND) is due **April 24**, full proposals due **June 6, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0063>.

- * Advanced Technological Education
NSF 00-62

To promote improvement in technological education at the undergraduate and secondary school levels by supporting curriculum development; the preparation and professional development of college faculty and secondary school teachers; internships and field experiences for faculty, teachers, and students; and other activities.

Approximately 75 awards will be made; some cost-sharing is required. Preliminary proposals are due **May 25**, full proposals are due **October 19, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0062>.

- * Long-Term Ecological Research (LTER)
NSF 00-61

To create sites that are a part of a set of research platforms that potentially can serve as foci for cross-site research activities leading to broader generalizations in a large range of ecological phenomena. In addition, this competition will consider proposals for field-based research that fall within the purview of the Population Biology and the Ecological and Evolutionary Physiology programs that can take advantage of the large-scale field experiments at LTER sites.

Up to 12 awards will be made for up to \$300,000 for two to five years. The application deadline is **May 25, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0061>.

- * Science and Technology Centers (STC): Integrative Partnerships
NSF 00-67

To create centers that will build intellectual and physical infrastructures within and between disciplines for knowledge creation, knowledge integration, and knowledge transfer.

Cost sharing of no more than 30 percent of awarded amount is required. From 8 to 10 awards will be made ranging from \$1.5 million to \$4.0 million per year for five to ten years. A notice of intent is required by **June 15, 2000**; a preproposal is due **August 11, 2000**; and full proposals are due **April 2, 2001**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0067>.

- * Combined Research-Curriculum Development
NSF 00-66

To support multidisciplinary projects that integrate new, state-of-the-art research advances in emerging technology areas into upper level undergraduate and introductory graduate engineering and computer and information science curricula.

From 10 to 15 awards will be made for up to \$500,000 a year for up to three years. Cost sharing of 25 percent is required. Full proposals are due **June 2, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0066>.

U.S. Department of Agriculture

- * Initiative for Future Agriculture and Food Systems

To support research, education, and extension grants that address critical emerging agricultural issues related to 1) future food production, 2) environmental quality and natural resource management, or 3) farm income. Priority will be given to projects that are multistate, multi-institutional, or multidisciplinary, or projects that integrate agricultural research, extension, and education.

The application deadline is **May 8, 2000**. Contact Dr. Rodney Foil, 202.401.5022, rfoil@reeusda.gov, or Dr. Cynthia Huebner, 202.401.4114, chuebner@reeusda.gov.

National Institute for Literacy

- * Literacy Leadership Fellowship Program

To provide assistance to adult learners and to individuals pursuing careers in adult education or literacy in the areas of instruction, research, or innovation. Fellowships will be offered to literacy workers and adult learners.

The application deadline is **May 8, 2000**. Go to <http://www.nifl.gov/activities/fllwhome.htm>.

Department of Defense Department of the Army

- * Prostate Cancer Research Program

This New Investigator Award is intended to promote and reward innovative ideas and technology from investigators in the early phases of their careers and established investigators new to prostate cancer research. Research may represent a new paradigm, challenge existing paradigms, or look at an existing problem from a new perspective.

A letter of intent is due **May 3, 2000**, with full proposals due **May 17, 2000**. Go to <http://cdmnp.army.mil/announce/#pcrp>.

Dreyfus, Camille and Henry Foundation

- * Special Grant Program in the Chemical Sciences

To strengthen chemistry teaching and research, with the expectation that awardees will find continuing funding from other sources. Proposals are invited in any area consistent with the foundation's objectives, and not covered by other foundation programs.

Past areas of support include development of curricular and instructional materials, including new media; institutional enhancement of education and research; public understanding of the role of chemistry in society; and encouragement of high school students and teachers.

Preliminary proposals are due **June 15, 2000** complete proposals are due **September 1, 2000**. Go to <http://www.dreyfus.org/sg.shtml>.

Rockefeller Foundation

- * Multi-Arts Production (MAP) Fund

Provides funding for the creation of new work for live performance. MAP offers assistance to artists and organizations exploring the dynamics of culture across changing societies. Awards are made to organizations in the U.S. and abroad that are commissioning, developing, or producing new work in the performing arts.

The application deadline is **March 15, 2001**. Go to <http://www.rockfound.org/humanities/map.html#goals>.

Damon Runyon-Walter Winchell Foundation

- * Damon Runyon Scholar Award

This award supports the development of outstanding biomedical scientists as independent investigators in the cancer field by ensuring the continuity of their research productivity at the critical transition from research training to their first faculty position.

Applications are due **June 30, 2000**. Go to <http://www.cancerresearchfund.org/shaward.htm>.

American Cancer Society

- * Research Scholar Grants

A new grants program in three areas which offers increased funding and extended time periods, designed to fund the work of gifted, innovative investigators engaged in a broad spectrum of cancer research. Research Scholar Grants for Beginning Investigators, Research Scholar Grants for Health Services and Health Policy and Outcomes Research provide \$250,000 a year for four years; Research Scholar Grants for Psychosocial and Behavioral Research provides funding up to \$500,000 a year for five years.

Annual deadlines are **April 1** and **October 15**. Go to <http://www.cancer.org> or e-mail grants@cancer.org.

Fax number	612.624.4843	
SPA's Web site	http://www.ospa.umn.edu	
Associate Vice President, SPA	Ed Wink	624.1648 ewink@tc.umn.edu
Assistant Vice President, and Interim Director, SPA	Winifred A. Schumi	624.5750 wschumi@tc.umn.edu
Executive secretary	Carol Foth (temp)	626.7437 spaaa@tc.umn.edu
Editor, <i>Research Review</i>	Bruce Erickson	625.2354 erick210@tc.umn.edu
EGMS		
Project Analyst, EGMS	Susan Stensland	625.3515 stenslan@tc.umn.edu
Business Help Line	612.624.1033	
Technical Help line	612.624.1600	
Sponsored Projects Administration, information		
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Application materials	Tove Jespersen	624.0061 tove@tc.umn.edu
Interim assistant director (NIH, USDE, DOJ)	Lorrie Awoyinka	626.2265 lorrie@tc.umn.edu
NIH, USDE	Sue Marshall	625.3415 marsh068@tc.umn.edu
NIH, USDE	Dara Little	624-4121 littl025@tc.umn.edu
Foundations; USDE; NIH	Judy Krzyzek	624.2546 krzyzek@tc.umn.edu
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St. of MN, governments	Faith Mrutu	626.8265 faith@tc.umn.edu
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Business and industry, health sciences	Gary Gillet	624.5571 gille013@tc.umn.edu
Business and industry, health sciences	Chris Coyne	626.8267 coyne003@tc.umn.edu
Patents and Technology Marketing, information: 612.624.0550; fax: 612.624.6554; web: http://www.ptm.umn.edu		
Acting asst VP, technology licensing (IT, CBS, COAFES, CNR, CHE)	Tony Strauss	624.0869 tony-s@tc.umn.edu
Technology licensing	Jeff Carpenter	624.6426 carpe012@tc.umn.edu
Software licensing	Jim Hildebrand	624.9568 hilde017@tc.umn.edu
Technology licensing	Beth Trend	626.9293 btrend@tc.umn.edu
Technology transfer coordinator (Sota Tec Fund)	Dick Sommerstad	625.8826 @tc.umn.edu
Director, technology licensing (health sciences)	Michael F. Moore	624.9531 moore045@tc.umn.edu
Technology licensing	Susan Patow	624.3966 patow001@tc.umn.edu
Technology licensing	Paul Korathu	624.8205 korat001@tc.umn.edu
Technology transfer liaison	Charanjeet Guron	625.8532 @tc.umn.edu
Indirect Cost, Effort Certification		
Indirect cost and other rate development	Steve Bradley	626.9895 bradl011@tc.umn.edu
Effort help line	612.625.7824	effort@tc.umn.edu
Information Services		
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<i>Levels & Trends</i> and proposal and award data questions	Mary Bendtsen	624.0583 mbendts@tc.umn.edu
Duluth, Office of Research & Technology Transfer		
Sr. grant and contract administrator	Jim Loukes	218.726.7583 jloukes@ub.d.umn.edu
Morris, Grants Development, http://www.mrs.umn.edu/services/grants		
Director	Tom Mahoney	320.589.6462 mahoneyt@mrs.umn.edu
related numbers		
Sponsored Financial Reporting, fax: 612.626.0321; web: http://www.sfr.umn.edu		
Manager	Joan Donaldson	624.6026 j-dona@sfr.umn.edu
Supervisor, Vol health, foundations, ag assns, St. of MN, other private	Sue Paulson	624.5007 spaul@sfr.umn.edu
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Supervisor, NIH, USDE	Pat Healy	624.7033 healy003@sfr.umn.edu
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Research Subjects' Protection Programs, fax: 612.626.6061; web: http://irb@umn.edu / http://iacuc@umn.edu		
Director	Moira Keane	626.5654 keane002@tc.umn.edu

Instructions on Changing Addresses

SPA cannot change the faculty mailing list. It is a list we *buy* monthly.

(Faculty mailing labels are those with a string of seven numbers printed above the addressee's name.)

This list is generated by Human Resources and changed in your department.

For faculty-list changes, please call your departmental payroll or Human Resources coordinator.

For changes regarding *other* labels (no numbers above the name), please complete the following:

Change Name: _____

Add Department: _____

Delete Building & Room No.: _____

Mail Delivery Code (if on campus): _____

City, State, Zip (if off campus): _____



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Research Review



Sponsored Projects Administration
 Patents and Technology Marketing
 Oversight Analysis and Reporting

May 2000

Volume XXIX, Number 11
<http://www.ospa.umn.edu/resrev.htm>

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Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of the month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, erick210@tc.umn.edu.

Effective July 1

University Changes F&A Rate for Clinical Trial Projects

Sponsored by Business & Industry Organizations

The University has found it necessary to increase its Facilities & Administrative (F&A) rate for business and industry clinical trial sponsored projects from the current 20 percent to a new 23 percent level. This new rate should be used when budgeting for new or competitive renewal proposals submitted to Sponsored Projects Administration on or after July 1, 2000. However, applicable non-competitive continuation or supplement projects should continue to utilize the 20 percent rate. Please note that both rates will still be applied on a total direct cost (TDC) basis.

The Office of Vice President for Research has secured agreement that the central administration portion of the increased F&A rate will be allocated to support the functions of the Institutional Review Board. The University Institutional Review Board office has encountered a considerable escalation in its workload as regulatory compliance requirements have risen for clinical trial sponsored projects.

The University F&A rate has been discounted to the 20 percent TDC level for industry sponsored clinical trials for the past 12 years. However, the costs of administering and managing these grants have obviously increased greatly over this same period.

A recent survey of similar educational institutions in the midwest region showed that the University had one of the lowest levels. Most schools surveyed had rates between 20 percent and 26 percent TDC. The University's modest increase to 23 percent will leave this rate well within the range that other institutions offer, and will enable the University to expand its Institutional Review Board and improve its service to the University research community.

RESEARCH REVIEW

Volume XXIX, Number 11

May 2000

Editor: Bruce Erickson

Editorial Assistant: Tove Jespersen

Associate Vice President: Ed Wink

Research Review is a monthly publication of the office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 450 Gateway Building, 200 Oak Street SE, Minneapolis, MN 55455-2070, or call Bruce Erickson, 612.625.2354, erick210@tc.umn.edu, or Tove Jespersen 612.624.0061, tove@tc.umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New rates effective July 2000

TA, RA, AF: standard of gross salary	\$5.28/hr	+	9.8%
TA, RA, AF: advanced master's or Ph.D.	\$.88/hr	+	9.8%
Summer session semester TA, RA, AF	—		9.8%
Summer session TA, with tuition	\$12.51/hr	+	9.8%
Summer session TA, without tuition	—		9.8%
Professional program assistant	—		9.8%
Dental fellow *	\$3.35/hr		—
Medical fellow *	\$2.64/hr		—

To the rates listed above, add 7.7% to the 9.8% when a graduate student is enrolled for fewer than 3 credits, or less than 1 credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. This is a change from previous years.

Other Job Classes

	Civil Service	Academic	Post-doc class #9546	Graduate Assistant
7/1/99 - 6/30/00	24.4%	27.6%	14.2%	15.3%
7/1/00 - 6/30/01	27.7%	27.5%	15.4%	17.5%
7/1/01 - 6/30/02	30.3%	31.1%	tba	21.1%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009.

Complete details of fringe benefit rates for all classes of UM employees are available at http://www.fpd.finop.umn.edu/groups/ppd/documents/rates/fringe1999_2000.cfm.

Rate changes will be reflected in this section.

Facilities & Administrative (F&A) (Indirect Cost) Rates

The rates listed at right come from the University's most recent F&A/indirect cost agreement, dated **December 16, 1999**. This date should be used where required on applications.

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration at 612.624.5599. If you have questions on F&A/indirect cost rate development, please call Steve Bradley, 612.626.9895.

* A project is considered off-campus if more than 50 percent of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University.

Research (MTDC base)

On-campus	48.00%	FY 2000
	48.50%	FY 2001-03
Off-campus*	26.00%	FY 2000-03
SAFL on-campus	59.00%	FY 2000-03
SAFL off-campus*	26.00%	FY 2000-03
Hormel on-campus	50.00%	FY 2000-03
Hormel off-campus*	26.00%	FY 2000-03

Other Sponsored Activity (MTDC base)

On-campus	32.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

Instruction (MTDC base)

On-campus	52.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

MTDC (Modified Total Direct Cost):

Total direct cost minus:

- graduate student fringe benefits
- equipment
- capital expenditures, e.g., new building construction
- charges for patient care
- tuition remission
- rental costs of off-site facilities
- scholarships and fellowships
- the portion of each subgrant and sub-contract in excess of \$25,000

For more information on equipment and subgrants and subcontracts in excess of \$25,000, see the April 1999 *Research Review*, or go to <http://www.ospa.umn.edu/resrev.htm>.

National Science Foundation Results from Prior NSF Support

Unfortunately, some principal investigators have misinterpreted the *Results from Prior NSF Support* section in NSF applications, causing them to use up valuable page space with more than is required in the proposal guidelines. Please note that NSF proposals require information on NSF funding received during the past five years, but the information **should be on the award most closely related to the proposal only**. The following is text from the NSF Grant Proposal Guide (NSF 00-2) with important points highlighted:

If the PI (or any co-PI identified on the proposal) has received NSF funding in the past five years, information on the prior award is required. **If the proposer has received more than one prior award (excluding amendments), the proposer should report on the award most closely related to the proposal.** The following information should be provided:

- a. the NSF award number, amount and period of support;
- b. the title of the project;
- c. summary of the results of the completed work, including, for a research project, any contribution to the development of human resources in science and engineering;
- d. publications resulting from the NSF award;

- e. brief description of available data, samples, physical collections and other related research products not described elsewhere; and
- f. if the proposal is for renewed support, a description of the relation of the completed work to the proposed work.

Reviewers will be asked to comment on the quality of the prior work described in this section of the proposal. Please note that a PI with prior support may use *up to* five pages to describe the results. **Results may be summarized in fewer than five pages, which would give the proposer the balance of the 15 pages for the Project Description.**

Proposals for renewed support of research projects, *for academic institutions only*, must include information on human resources development at the postdoctoral, graduate and undergraduate levels. This may involve, but is not limited to, the role of research in student training, course preparation and seminars (particularly for undergraduates). Special accomplishments in the development of professional scientists and engineers from underrepresented groups should be described. Graduate students who participated in the research should be identified by name. This requirement does not apply to nonacademic organizations.

EGMS News

Recently, a new question was added to the Proposal Routing Form (PRF). The new question involves the use of Fairview/University resources.

Initially, all proposals answering question 19 with a "yes" were automatically routed to Mark Paller at the Academic Health Center (AHC) for review and approval. Because continuation proposals do not request new funding and are not competitive, the AHC does not need to review these proposals. Therefore, effective immediately, continuation applications will no longer follow this process. All other proposals answering "yes" to question 19 will still route through the AHC.

Remember, a continuation and renewal are not the same:

- Continuation: an application to award support recommended previously in a funded project. This application is not competitive with new funding requests. Some sponsors also call these progress reports.
- Renewal: an application for additional support of a previously funded project. This additional funding must not have been recommended or guaranteed in the previously funded project and may be competitive with new funding requests.

EGMS has been programmed to accommodate this change. If you are not sure what your proposal type should be, please contact the EGMS business helpline at 612.624.1033 or contact your grant administrator.

Reminder: EGMS Open Labs

SPA offers hands-on open user labs for new and experienced EGMS users every Wednesday morning from 9:00 a.m. to 11:30 a.m. in room 664 of the Rehabilitation Center. An EGMS grants assistant is available to answer questions or demonstrate how the system works. EGMS users do not need to register to attend these open labs.

Sponsored Projects Administration Application Information

The following is a list of information that may be requested by funders of sponsored projects.

Legal name of the University: Regents of the University of Minnesota (usually The University of Minnesota is sufficient on application materials).

Founding date: February 25, 1851

County of applicant: Hennepin (Minneapolis); Ramsey (St. Paul); Polk (Crookston); Stevens (Morris); or St. Louis (Duluth)

Type of applicant: higher education institution

Internal Revenue Service and Federal identification number: 41-600-75-13-W

Minnesota tax ID number: 8029894

Contractor establishment code (CEC): 55692709D

CAGE number: ODH95

DUNS number (for proposals):

Crookston: 55-591-7996

Duluth: 78-105-4168

Morris: 07-150-1969

Twin Cities: 55-591-7996

Cognizant audit agency: Department of Health and Human Services Audit Agency

Accreditation body: North Central Association of Colleges and Schools

Classification: The University of Minnesota is classified as a 501.C.3 organization

Officials authorized to sign proposals and accept contracts and grants:

1) associate vice president for Sponsored Projects Administration (SPA) (Ed Wink);

2) assistant directors of SPA (Mary Lou Weiss or Kevin McKoskey);

3) outside the Twin Cities, call the local grant administrator

Checks to be made payable to: The University of Minnesota

Mail checks to:

University of Minnesota
Office of Sponsored Financial Reporting
450 Gateway Building
200 Oak Street SE
Minneapolis, MN 55455-2070

Certified Approver Program

Please direct questions about the Certified Approver Program to 612.625.9051, or go to the Office of Oversight Analysis and Reporting (OAR) web site at <http://www.oar.umn.edu>. See below for times and locations of the Certified Approver exams.

Certified Approver Examinations

Exam Schedule

(on the web at <http://www.oar.umn.edu/CA/schedule.htm>)

May 2000 - June 2000

Preregistration Required

Exam times:

Part 1: 8 a.m., 10 a.m., 1 p.m.

Part 2: 9 a.m., 1 p.m.

Locations are subject to change

Date	Day	Part	Hours	Room
May				
2	Tuesday	1	8, 10, 1	186 HHH
8	Monday	2	9-12; 1-4	186 HHH
16	Tuesday	2	9-12; 1-4	4-101 BSBE
23	Tuesday	1	8, 10, 1	4-101 BSBE
31	Wednesday	2	8-12; 1-4	4-101 BSBE
June				
6	Tuesday	2	9-12; 1-4	4-101 BSBE
13	Tuesday	1	8, 10, 1	4-101 BSBE
19	Monday	2	9-12; 1-4	215 Donhowe
20	Tuesday	2	9-12; 1-4	4-101 BSBE
28	Wednesday	1	8, 10, 1	215 Donhowe

Correction

The article about the new NIH Salary Caps in the hard copy of the April 2000 issue of the *Research Review* contains a web site linkage error. Please note, however, that all other information in this article is correct.

- 1) The hard copy refers readers erroneously to: <http://grants.nih.gov/grants/guide/notice-files/not-od-00-011.html>.
- 2) However, this NIH web site has been found to be "case sensitive" and the proper linkage should be: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-00-011.html>.
- 3) The electronic version of the article on the SPA web site is correct and will link users properly.

Getting Charged Up for Better Processing

Procurement of small dollar items (up to \$999 on sponsored funds) is made easy and efficient when using the University purchasing card. The program has been available since 1996 and it is so popular that there are currently 3,000 cardholders, and over 7,000 transactions processed *monthly* via this method.

Recent program enhancements will make using the purchasing card and directing the charges to the correct CUPS account numbers even easier.

As of July 1, 2000, the Purchasing Card Activity Reports (monthly statements) will be available online in Financial FormsNirvana (FFN)!

Key Benefits

For a cardholder, this change means that *only one card* will be needed per individual to purchase on multiple sponsored and nonsponsored CUPS account numbers. Until now, the employee would have had one credit card for *each* grant on which they were authorized to make a purchase.

As with other FFN documents, departments will benefit from the electronic routing and tracking of these online statements.

The financial reports will be more current because the charges will now be generated weekly and can be immediately processed by your unit.

Eligibility

There are only two qualifications to be met: 1) one or more individuals within your unit must be a purchasing cardholder; and 2) your unit must be on Financial FormsNirvana.

That's it!

Over the next few weeks, more specific information outlining the enhanced program will be distributed to department administrative staff.

If you have any questions before then, please contact the Program Administrator, Leslie Koidahl at 612.626.8673 or koida001@tc.umn.edu.

*Contributed by:
Leslie Koidahl
Michele Gross*

Update: U.S. Department of Education

Recently, the U.S. Department of Education began enforcing its rule of allowing grant recipients to draw funds strictly within 90 days after grant termination. In the past, the USDE would allow universities to draw funds beyond the 90-day window if universities gave proper justification.

What does this enforcement mean to departments with USDE grants? It means departments and Sponsored Financial Reporting (SFR) must agree on a balance within 90 days of grant termination. If agreement is not reached, SFR will not be able to draw the maximum due to the University. In these cases, departments will be responsible for covering costs not reimbursed by USDE.

To help departments with the 90-day rule, expect to hear from Sponsored Financial Reporting within two weeks of grant termination to allow time for reconciliation of the account. Please direct comments or questions to Jason Jacobs at 612.624.3848, j-jaco@tc.umn.edu.

Teaching Ethics for Research

Teaching Ethics for Research, Scholarship, and Practice, a new web site promoting awareness and discussion of ethical issues, is now online at <http://www.research.umn.edu/ethics>.

The site offers a database of materials, including articles, case studies, and sample syllabi, as well as a curriculum guide to be used with the University's Responsible Conduct of Research workshops.

The Research Ethics Advocates Committee, a group of faculty, staff, and students advocating awareness and support of ethical issues in academics, developed the site.

What's New in Grants Management

An index to changes and announcements

May 2000

(month 11 of UM fiscal 2000)

This month there are no changes or announcements regarding grants management.

Organizational Changes in Federal Oversight of Research Subjects

The primary federal agency responsible for overseeing the protection of human and animal participants in research, Office for Protection from Research Risks (OPRR), has undergone significant changes in the last several months. These changes will affect the federal reporting lines for the IRB and IACUC. First, the OPRR human and animal branches have been separated. The human branch will retain, at this time, the name OPRR and will report directly to the Secretary of Health and Human Services. The animal branch has changed to the "Office for Laboratory Animal Welfare" (OLAW) and will continue to report to NIH. Both offices will be relocated physically. Effects of the changes will be communicated through the *Research Review* and on the RSPP web site at <http://www.research.umn.edu/subjects.htm>. The following article and the News Flash article on page seven provide more detailed information on this issue.

Protecting Research Subjects

*HHS Press Release of:
November 4, 1999*

Contact: HHS Press Office (202) 690-6343

Overview

Dramatic advances in prevention and treatment of disease have stemmed from the widespread programs of research carried out by universities, the private sector and the government. A crucial part of this research involves the use of human and animal subjects. Federal policy has sought to preserve the benefits of this research, while at the same time protecting against possible abuse or unnecessary harm to research subjects. In particular, a regulation implemented by 17 federal agencies seeks to guarantee review of research for projects and assure willing consent, including a proper understanding of risks involved, for those participating in research protocols.

The Office for Protection from Research Risks (OPRR) in the Department of Health and Human Services is responsible for ensuring the safety and welfare of people who participate in HHS-sponsored research, as well as the humane care and use of animals in studies funded by the U.S. Public Health Service.

Since 1972, OPRR has been located at the National Institutes of Health and has reported to the Office of the Direc-

tor, NIH. On June 3, 1999, the Advisory Committee to the Director of NIH recommended that OPRR be relocated in the Office of the Secretary to elevate its stature and effectiveness. The committee also recommended that an independent advisory council be established to provide broad scientific and ethical guidance to OPRR in its oversight role.

Secretary Donna E. Shalala has accepted the committee's recommendation and directed that OPRR be relocated to the Office of Public Health and Science within the Office of the Secretary. In addition, she directed that the position of director of the OPRR be upgraded to Senior Executive Service level; that resource needs of the elevated office be reviewed as part of the relocation; and that a new advisory committee on protection from research risks be created.

The Role of OPRR

The OPRR has the primary responsibility within the federal government for developing and implementing the policies, procedures, and regulations to protect human subjects and animals involved in research sponsored by HHS. In carrying out its mission, OPRR has set up formal agreements

with more than 4,000 federally funded universities, hospitals and other medical and behavioral research institutions in the United States and abroad. These agreements or "assurances" outline each institution's commitment to conduct its research projects in an ethically sound manner and to protect the welfare of people and animals involved in these projects.

In accordance with these agreements, each institution sets up one or more ethical oversight committees, known as Institutional Review Boards (IRB) or institutional animal care and use committees. IRBs are responsible for ensuring that people who agree to participate in studies fully understand the nature of the research and willingly consent to participate. This "informed consent" process requires that potential participants be given an explanation of purposes of the research and the expected duration of the subject's participation, a description of the procedures to be followed, and identification of any procedures that are experimental, among other necessary information.

The membership of an institution's IRB typically comprises doctors, scientists, patient representatives and others who are charged with regularly monitoring the design, development and progress of the research projects being conducted at the institution. Federal regulations require that a nonscientist and an individual not affiliated with the institution be included on every IRB.

OPRR provides guidance to IRB members as well as scientists and research administrators on the complex ethical issues relating to the use of animals and human subjects in biomedical or behavioral research. The office conducts national educational workshops and provides on-site, technical assistance to institutions conducting HHS-sponsored research.

In addition to its educational activities, OPRR also has a regulatory role. OPRR monitors and evaluates an

{next page}

institution's compliance with the rules governing research subjects. If complaints or concerns arise regarding an institution's oversight practices, OPRR has the authority to investigate and, if necessary, require corrective action or even suspend HHS funding to an institution until the problems are resolved. Since 1990, OPRR has undertaken more than 125 site visits to various institutions to review their compliance and provide technical assistance with their oversight process.

Guaranteeing Effective Oversight

As the number of research projects and study volunteers increases, it is critical that the integrity of research is maintained. To enhance the stature and effectiveness of OPRR in carrying out its oversight responsibilities, the Secretary of Health and Human Services determined in July 1999 that OPRR should be relocated in the Office of the Secretary. Doing so will place OPRR in a position to more effectively exercise a leadership role in the research community on issues relating to the protection of human subjects. Locating OPRR at the Departmental level also will permit OPRR to forge new alliances with the

components within HHS and with other federal agencies that support human research. OPRR will become a powerful forum for exploring and addressing the challenging issues involved in protecting research subjects.

External Experts to Review Federal Human Research Subject Protections

In addition to protections OPRR sets forth, the National Bioethics Advisory Commission is set to conduct a comprehensive review of the current federal system for protecting human subjects who participate in clinical and other research projects. This commission, made up of ethics experts from around the United States, also assisted in determining the need for OPRR to move from NIH to the Departmental level.

Ensuring Proper Use of Animals in Research

OPRR, the Food and Drug Administration (FDA) and the Department of Agriculture (USDA) each have responsibilities for different aspects of assuring animal welfare within medical

research, with each approaching its mission differently. Through a formal collaborative arrangement, these organizations work together to ensure humane care and use of laboratory animals via the Animal Welfare Act and specific PHS policies. FDA enforces good laboratory practice regulations. USDA performs inspections of research facilities, animal dealers and transporters of animals. OPRR completes the seamless regulation by assuring humane treatment of lab animals in PHS-sponsored research.

The OPRR Web site can be found at <http://www.nih.gov/grants/oprr/oprr.htm>. The full report of the Office for Protection from Research Risks Review Panel is available at <http://www.nih.gov/welcome/director/060399b.htm>.

Reminder:

Principal Investigator Educational Requirements

For up-to-date information about the Responsible Conduct of Research (RCR) training program, including a schedule of upcoming offerings, go to <http://www.research.umn.edu/training>.

Part one of the RCR training will be available approximately once a month and part two will be available approximately three times a month through the rest of the year.

To register for upcoming trainings, email chrd@tc.umn.edu. If you have questions, email to rschtrng@tc.umn.edu or call Peggy Sundermeyer at 612.626.7850.

News Flash

(March 30, 2000)

The Office for Protection from Research Risks' Division of Animal Welfare has been renamed the Office of Laboratory Animal Welfare (OLAW) effective March 2, 2000.

The Director, Dr. Nelson Garnett, will report to the NIH Deputy Director for Extramural Research, Dr. Wendy Baldwin. OLAW will be responsible for all of the animal-related functions of the OPRR, including implementing and interpreting the Public Health Service Policy on Humane Care and Use of Laboratory Animals, administering an educational program for PHS-supported institutions and investigators, negotiating Animal Welfare Assurances, and evaluating compliance with the PHS Policy.

Their web site has been moved to: <http://www.grants.nih.gov/grants/olaw/olaw.htm>.

Occupational Health Program for Animal Handlers

The Institutional Animal Care and Use Committee and the Office for Regulatory Affairs sponsor an occupational health program for animal handlers in conjunction with Boynton Health Service (or other campus health providers). Many people are already familiar with this program. This summary is intended to ensure that all animal handlers are current in the program and to clarify any confusion.

The normal way that animal handlers are enrolled in the program is through the orientation and certification process for all personnel in contact with animals used for research, teaching, or display. The questionnaire form that is completed is forwarded to Boynton Health Service (BHS) for entry into their database. It asks information about animal contact and past preventative medical procedures in order to determine what additional procedures are needed. For someone not enrolled in the program, the first step to ensure certification for animal use is to call the IACUC office at 612.626.5654. A form is also available at <http://www.research.umn.edu/subjects/animals/training/bhsquest.html>.

Because this questionnaire contains private medical information, the IACUC does not retain the form. Therefore, BHS and the IACUC are not always aware of changes that have been communicated to one or the other department. It is also important to note that neither the IACUC nor BHS have any way of knowing whether a laboratory is currently working with the animals they received approval for. They are all departments separate from RAR. Finally, because these procedures are preventative in nature, whether one is currently using the animals in question is not the issue. What one plans to do in the future is what is important. As long as there is IACUC approval for the animal use, it is possible that the animals will be used. Often projects are started with short notice and there is not time to get vaccinations and testing done before starting the project. So, please be patient when you get letters asking you to update your information with BHS. This is necessary to protect your health.

The basic components of the occupational health program for animal handlers include:

- Personnel identified on the Animal Usage Form as having contact with radiation, hazardous chemical infectious agents, or recombinant DNA are referred to the Department of Environmental Health and Safety for training and necessary safety committee approvals (<http://www.dehs.umn.edu/>). The questionnaire form is updated annually.
- All animal handlers are expected to have a current tetanus vaccine (within the last 10 years) or sign a waiver indicating they do not wish to have one.
- Personnel in contact with nonhuman primates must be tested for tuberculosis and must receive safety training through Research Animal Resources, 612.624.9100.
- Personnel in contact with dogs or cats are offered the rabies vaccination and periodic titers, or may sign a waiver declining the vaccine.
- Women in contact with cats are offered toxoplasmosis testing and counseling.
- Any animal-related injuries may be treated at Boynton Urgent Care Center 612.625.3222 or other campus health providers.
- Bites from a dog or cat must be reported to Research Animal Resources or the facility veterinarian for rabies quarantine and observation of the animal.
- Any scratches, bites, needle sticks, or splashes of animal body fluids into the eye, nose, mouth, or a cut resulting from a macaque nonhuman primate must be reported to Research Animal Resources so the animal can be assessed for cercopithecine herpesvirus-I. Exposed personnel must follow the post-exposure treatment protocol (<http://www.ahc.umn.edu/rar/nhpsafety.html#bite>).
- Personnel in contact with human tissues or body fluids should be vaccinated against hepatitis B virus.

The Office of Regulatory Affairs currently covers the cost of all vaccination and testing provided in this program on the Twin Cities campus, except the hepatitis B vaccination, which is covered by the staff member's department. Treatment for injuries is covered by Worker's Compensation, and a First Report of Injury form must be filed with an appropriate departmental administrator. Procedures for other campuses and centers are normally covered by operating budgets for those units.

Other information on diseases transmissible between humans and animals or other safety issues is available at <http://www.ahc.umn.edu/rar/#Safety>. Or, contact Dale Cooper at 612.625.0499, coope019@tc.umn.edu.

*by Dale Cooper
Office of Regulatory Affairs*

Patents Issued

January 2000 – March 2000

1. **Title:** High Capacity High Rate Materials
Purpose: Nominal composition materials suitable for intercalations to yield theoretical energy density of cathode active material, the intercalation being completely reversible and synthesis of the materials from sol and gels, and devices incorporating these materials.
Inventors: Dinh Ba Le, William H. Smyrl, Boone B. Owens, Stefano Passerini, Chemical Engineering and Materials Science
2. **Title:** Method for Treating Conditions of the Eye Using Polypeptides
Purpose: A method for treating diseases and conditions of the eye that include scarring, proliferation of fibroblasts, proliferative vitreoretinopathy, and glaucoma, by administering a polypeptide.
Inventors: Amy P.N. Skubitz, Leo T. Furcht, Laboratory Medicine and Pathology; Mark W. Balles, Anita Agarwal, Martha M. Wright, Shobana Murali, Dale S. Gregerson, Ophthalmology
3. **Title:** System, Method, and Article of Manufacture for Generating Implicit Ratings Based on Receiver Operating Curves
Purpose: An electronic rating broker including an input mechanism for obtaining an implicit measure concerning items presented to a user.
Inventors: Bradley N. Miller, Joseph A. Konstan, John T. Riedl, Computer Science and Engineering
4. **Title:** Modified Vitamin K-dependent Polypeptides
Purpose: Vitamin K-dependent polypeptides with enhanced membrane binding affinity, used to modulate clot formation in mammals.
Inventor: Gary L. Nelsestuen, Biochemistry, Molecular Biology, and Biophysics
5. **Title:** Method and Apparatus for Use with MR Imaging
Purpose: An apparatus and method for targeted drug delivery into a living patient using magnetic resonance (MR) imaging.
Inventors: John Kucharczyk, Radiology; Michael E. Moseley, non-U.
6. **Title:** Method and Apparatus for Embedding Data, Including Watermarks, in Human Perceptible Images
Purpose: A technique for hiding of data, including water marks, in human-perceptible images, that is, image host data.
Inventors: Ahmed H. Tewfik, Mitchell D. Swanson, Bin Zhu, Electrical and Computer Engineering
7. **Title:** Test Device and Method for Quantitative Measurement of an Analyte in a Liquid
Purpose: A device and method for determining the concentration of an analyte, particularly a chloride ion, in a liquid sample useful to screen for cystic fibrosis.
Inventors: Warren J. Warwick, Leland G. Hansen, Pediatrics

Patents Issued Prior to 1st Quarter 2000, but not Previously Reported

8. **Title:** Spiroindanamines and Spiroindanimides
Purpose: Compounds and their pharmaceutically acceptable salts used for treating diseases in mammals wherein insufficient synaptic levels of monoamine are implicated.
Inventors: Simon M.N. Efange, Radiology; Deborah C. Mash, non-U
9. **Title:** Method and Apparatus for Three Dimensional Sequence Estimation in Partially Constrained Binary Channels
Purpose: An information handling system, such as a magnetic disk drive, which includes a data channel which has a method and apparatus for detecting binary symbols from a received signal occurring at high data rates.
Inventors: Barrett J. Brickner, Jaekyun Moon, Electrical and Computer Engineering
10. **Title:** Method and Apparatus for High Data Rate Detection for Three Dimensional 110 Channels
Purpose: An information handling system, such as a magnetic disk drive, which includes a data channel which has a method and apparatus for detecting binary symbols from a received signal occurring at high data rates.
Inventors: Barrett J. Brickner, Jaekyun Moon, Electrical and Computer Engineering; Bernardo Rub, non-U
11. **Title:** Standardized Test for Dysphagia
Purpose: A method for evaluating the severity of Dysphagia, which is difficulty in swallowing allowing choking, aspiration of food or liquid into the lungs, and incomplete administration of medication.
Inventor: Donald L. Tymchuk, non-U
12. **Title:** Glutenin Genes and their Uses
Purpose: A method of improving flour by altering glutenin content in seeds of wheat and non-wheat plants.
Inventors: David A. Somers, Kimberly A. Torbert, Howard W. Rines, Agronomy and Plant Genetics; Ann E. Blechl, Olin D. Anderson, non-U
13. **Title:** Image and Document Management System for Content-based Retrieval
Purpose: A computerized image and document management system for tent-based retrieval integrating content-based retrieval support directly in the compressed files.
Inventors: Mitchell D. Swanson, Ahmed H. Tewfik, Srinath Hosur, Electrical and Computer Engineering
14. **Title:** Radionuclide Labeling of Vitamin B₁₂ and Coenzymes Thereof
Purpose: A compound useful for in vivo imaging of organs and tumors.
Inventors: Henricus P. Hogenkamp, Biochemistry, Molecular Biology, and Biophysics; Douglas A. Collins, non-U

Technology Transfer Agreements

January 2000 – March 2000

1. Title: Antibodies to U-Opioid Receptor and Delta Opioid Receptor

Purpose: A morphological basis for understanding pre- and postsynaptic functions mediated by MOR1.

Inventor: Robert P. Elde, Neuroscience

Licensee: Neuromics, Inc.

Non-Exclusive License Agreement

2-3. Title: Elder Health/Pra™

Purpose: To define a set of screening criteria that identifies elders who are at high risk for repeated hospital admission in the future.

Inventor: Charles E. Boulton, Family Practice and Community Health

Licensees: PhDx Systems, Inc.

Non-Exclusive Copyright License Agreement

PKC Corporation

Non-Exclusive Software License Agreement

4. Title: Ex Vivo Treatment of Allogeneic and Xenogeneic Donor T-Cells Containing Compositions (Bone Marrow) Using gp39 Antagonists and Use Thereof

Purpose: Methods for inducing T-cell non-responsiveness to donor T-cells comprised in transplantation tissues.

Inventors: Bruce R. Blazar, Patricia A. Taylor, Pediatrics; Daniel A. Vallera, Therapeutic Radiology-Radiation Oncology; Randolph J. Noelle, non-U

Licensee: IDEC Pharmaceuticals Corp.

Exclusive Option Agreement

5. Title: Double-Focusing Mass Spectrometer Apparatus and Methods Regarding Same

Purpose: A double focusing mass spectrometer apparatus, methods for use, and methods to provide the apparatus.

Inventors: Jorge A. Diaz-Diaz, Microtechnology Laboratory; Ronald W. Gentry, Chemistry; Clayton F. Giese, Physics and Astronomy

Licensee: Mass Sensors, LLC

Exclusive License Agreement

6. Title: Peptide-Based ELISA Tests for the Detection of Porcine Circovirus and its Antibodies

Purpose: A new ELISA test that can detect antibodies against porcine circovirus (PCV) in pig serum samples, using peptides made specifically against PCV and is not available elsewhere.

Inventors: Sagar M. Goyal, Barbara J. Potts, Veterinary Diagnostic Medicine; Thomas W. Molitor, Clinical and Population Sciences

Licensee: Nextran, Inc.

Option Rights Research Agreement

7a. Title: Use of Betulin and Analogs Thereof to Treat Herpesvirus Infection

Purpose: A therapeutic method for treating a mammal afflicted with a herpesvirus infection by administering an effective amount of betulin or a derivative thereof.

Inventors: Robert M. Carlson, UMD Chemistry; M. Reza-Ui Karim, UMD Biology; Pavel A. Krasutsky, UMD NRRI

7b. Title: Therapeutic Method to Treat Herpes Virus Infection

Purpose: A therapeutic method for treating a mammal afflicted with a herpesvirus infection by administering an effective amount of a compound of formula I.

Inventors: Robert M. Carlson, UMD Chemistry; M. Reza-Ui Karim, UMD Biology; Pavel A. Krasutsky, UMD NRRI

7c. Title: Birch Bark Processing and the Isolation of Natural Products from Birch Bark

Purpose: Methods for separating outer birch bark from inner birch bark.

Inventors: Robert M. Carlson, UMD Chemistry; Christian F. Edwardson, Igor V. Kolomitsyn, Pavel A. Krasutsky, Vitaliy V. Nesterenko, UMD NRRI

7c. Title: Methods for Manufacturing Betulinic Acid

Purpose: Providing a method for preparing betulin-3-acetate.

Inventors: Robert M. Carlson, UMD Chemistry; Pavel A. Krasutsky, Vitaliy V. Nesterenko, UMD NRRI

Licensee: NaturTek LLC

Exclusive License Agreement

8. Title: Apple Tree, Variety Minnewashta/ZESTAR!

Purpose: An apple tree with vigorous growth in early years, good hardiness with little winter injury, and annual fruit production which ripens early, can be stored, and has a well-balanced flavor with a crisp and juicy texture.

Inventors: David S. Bedford, James J. Luby, Horticultural Science

Licensee: Lee Nursery

Non-Exclusive Plant License Agreement

9a. Title: Device for Measuring Metals

Purpose: Devices for measuring metals, particularly toxic metals such as mercury.

Inventors: Michael C. Flickinger, Biological Process Technology Institute; Olav K. Lyngberg, Edward L. Scriven II, Chemical Engineering and Materials Science; Ron Anderson, non-U

9b. Title: Immobilization of Biological Particles in 3D Microstructures using Polymer Binders

Purpose: Technology which allows immobilization of biological particles inside of microstructures, used to improve drug development and in other commercial applications.

Inventors: Michael C. Flickinger, Biological Process Technology Institute; Olav K. Lyngberg, Edward L. Scriven II, Chemical Engineering and Materials Science

Licensee: Veos, Inc.

Exclusive Option Agreement

- 10-12. Title: Apple Tree: Honeycrisp**
Purpose: An apple tree with moderately vigorous growth, a superior fruit with a crisp and juicy texture, an extended season of harvest, and good hardiness with little winter injury.
Inventors: David S. Bedford, James J. Luby, Horticultural Science
Licensees: Groupe Pomanjou, S.A.
Non-Exclusive License Agreement
Byland's Nurseries, Ltd.
Non-Exclusive Plant License Agreement
Les Vergers Rochon Enr.
Non-Exclusive Plant License Agreement
- 13a. Title: Genes Encoding Resistance to DNA Alkylating Agents**
Purpose: Providing for an expression cassette to a DNA bioreductive alkylating or cleaving agent.
Inventors: Paul R. August, Michael C. Flickinger, Biological Process Technology Institute; David H. Sherman, Microbiology
- 13b. Title: DNA Encoding Methymycin and Pikromycin**
Purpose: A novel pathway for the synthesis of polyhydroxyalkanoates.
Inventors: Hung-Wen Liu, Lishan Zhao, Chemistry; David H. Sherman, Yongquan Xue, Microbiology
- 13c. Title: Mitomycin Biosynthetic Gene Cluster**
Purpose: Providing a biosynthetic gene cluster for mitomycin, as well as methods of using genes within the cluster to alter biosynthesis.
Inventors: Min He, Yingqing Mao, Paul J. Sheldon, David H. Sherman, Mustafa Varoglu, Microbiology
- 13d. Title: A New Method for Polyketide Chain-Length Control and New Methodology for Combinatorial Pathway Construction**
Purpose: A new method for combinatorial biosyntheses.
Inventors: David Sherman, Yongquan Xue, Microbiology
Licensee: Midwest Molecular, Inc.
Exclusive License Agreement
- 14. Title: Monoclonal Antibodies Reactive with native and Denatured Cytochrome C from Various Species**
Purpose: B cell hybridomas secreting monoclonal antibodies (mAbs) specific for various forms of cytochrome c (CYT).
Inventor: Ronald R. Jemmerson, Microbiology
Licensee: eBioscience
Non-Exclusive License Agreement
- 15. Title: Direct Mapping of DNA Chips to Detector Arrays**
Purpose: A device for detecting the pattern of polynucleic acid hybridization to a surface.
Inventors: Martin Blumenfeld, Mark A. Sanders, Genetics, Cell Biology and Development; Joseph J. Talghader, Electrical and Computer Engineering
Licensee: SOTA Tec Fund
Option Rights Research Agreement
- 16. Title: C Albicans RNA**
Purpose: RNA isolated from *Candida albicans* grown as yeast and as hyphae.
Inventors: Janna L. Beckerman, Paul T. Magee, Genetics, Cell Biology and Development
Licensee: Chiron Corporation
Non-Exclusive License Agreement
- 17. Title: Plasma-annealed Membrane for Protein Separation**
Purpose: Improved porous polymeric membranes useful in fractionations and separations involving protein-containing fluids.
Inventors: Eric D. Bastian, Srinivas Somayajula, Food Science and Nutrition; Hiroshi Nomura, non-U.
Licensee: SOTA TEC Fund
Option Rights Research Agreement
- 18a. Title: Silicon Wafer Method for Controlling the Temperature of Microscope Slides**
Purpose: A method for controlling the temperature of microscope slides placed atop a silicon wafer, useful as a cutting-edge method for diagnosing AIDS and other human diseases.
Inventors: Martin Blumenfeld, Genetics, Cell Biology and Development; Peter J. Schiller, Microtechnology Laboratory
- 18b. Title: Direct Method for Controlling the Temperature of Microscope Slides**
Purpose: A "thermal elution" system for gene mapping which can be used for DNA chip instrumentation employed in genomics, *in situ* polymerase chain reaction, a valuable technique for investigating/diagnosing AIDS and other human diseases.
Inventors: Avram Bar-Cohen, Mechanical Engineering; Martin Blumenfeld, Genetics, Cell Biology and Development; Peter J. Schiller, Microtechnology Laboratory
- 18c. Title: Direct Mapping of DNA Chips to Detector Arrays**
Purpose: A device for detecting the pattern of polynucleic acid hybridization to a surface, and an electronic light detector array.
Inventors: Martin Blumenfeld, Mark A. Sanders, Genetics, Cell Biology and Development; Joseph J. Talghader, Electrical and Computer Engineering
Licensee: SOTA TEC Fund
Exclusive License Agreement
- 19. Title: Compositions and Methods for Cryopreservation of Peripheral Blood Lymphocytes**
Purpose: A composition and method for cryopreserving cells in a non-toxic medium, providing cells for cell therapy and in other *in vivo* applications.
Inventor: Allison Hubel, Laboratory Medicine and Pathology
Licensee: SOTA TEC Fund
Option Rights Research Agreement

20. Title: Odor Removal System and Method having Ozone and Non-thermal Plasma Treatment

Purpose: An odor removal system.

Inventors: Paul L. Chen, Shaobo Deng, Philip R. Goodrich, Hongbin Ma, Rongsheng R. Ruan, Ye Wang, Biosystems and Agricultural Engineering

Licensee: SOTA TEC Fund
Option Rights Research Agreement

21a. Title: Soybean Line M91-419

Purpose: A maturity group 0 small seeded line with a seed size of approximately 8.7 grams per 100 seed.

Inventor: James H. Orf, Agronomy and Plant Genetics

21b. Title: Soybean Line M91-464

Purpose: A maturity group 0 small seeded line with a seed size of approximately 8.1 grams per 100 seed.

Inventor: James H. Orf, Agronomy and Plant Genetics

21c. Title: Soybean Line M91-467

Purpose: A maturity group 0 small seeded line with a seed size of approximately 8.8 grams per 100 seed.

Inventor: James H. Orf, Agronomy and Plant Genetics

21d. Title: Soybean Line M91-468

Purpose: A maturity group 0 small seeded line with a seed size of approximately 9.0 grams per 100 seed.

Inventor: James H. Orf, Agronomy and Plant Genetics

21e. Title: Soybean Line M91-147011

Purpose: A maturity group I small seeded line with a seed size of approximately 9.0 grams per 100 seed.

Inventor: James H. Orf, Agronomy and Plant Genetics

21f. Title: Soybean Line M92-1003

Purpose: A maturity group 0 small seeded line with a seed size of approximately 8.8 grams per 100 seed.

Inventor: James H. Orf, Agronomy and Plant Genetics

Licensee: J.G. Limited, Inc.

Exclusive License Agreement

22a. Title: Biological Control of Nematodes

Purpose: A novel isolated and purified fungus, a pesticidal composition capable of controlling nematode infestation.

Inventors: Fajun Chen, Senyu Chen, Xingzhong Liu, Curtis D. Reese, Plant Pathology

22b. Title: Biological Control of Nematodes

Purpose: A novel isolated and purified fungus, a pesticidal composition capable of controlling nematode infestation.

Inventors: Fajun Chen, Senyu Chen, Xingzhong Liu, Curtis D. Reese, Plant Pathology

Licensee: MN Soybean Research and Promotion Council
Option Rights Research Agreement

NIH Office of Research Integrity Conference

The Office of Research Integrity (ORI), National Institutes of Health, is sponsoring a conference on "Research on Research Integrity." The conference will be held in Washington, D.C. November 18-20, 2000.

Over the last two decades, research integrity has been the focus of hundreds of policies and thousands of publications. Despite all the attention, surprisingly little has been done on research integrity itself. Little is known about the best ways to promote integrity, the standards for normal practice, or the extent of misconduct in research. This makes it difficult for ORI, or anyone else for that matter, to assure that the nation's investment in research is appropriately managed or that appropriate steps are being taken to promote the responsible conduct of research.

The November conference is an initial effort to gather scholars in different disciplines together to share research results, discuss methods, and advise on future research directions. The latter is particularly important since ORI is planning to announce a new "research on research integrity" program later this year, with funding to begin sometime in 2001.

Contact nsteneck@osophs.dds.gov with questions.

More Information

To generate copies of NIH and NSF application forms, please go to EGMS at <http://nirvana.ospa.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>, or to NSF at <http://www.nsf.gov/cgi-bin/getpub?nsf003> (For help, call the EGMS help line at 612.624.1600.)

For funding searches

Please contact the Office of the Vice President for Research
612.625.7585; facgrant@gold.tc.umn.edu
<http://www.research.umn.edu/research.html>.

To link directly to the web sites listed, go to the *Research Review* web site at <http://www.ospa.umn.edu/resrev.htm>.

National Institutes of Health

- * Earth-Based Research Relevant to the Space Environment
PA-00-088

In cooperation with the National Aeronautics and Space Administration (NASA), various institutes within NIH are supporting research to stimulate ground-based research on basic, applied, and clinical biomedical and behavioral problems relevant to human space flight or that could use the space environment as a laboratory. Supported research will not be conducted in space but may form a basis for future studies that will.

Annual deadlines are **February 1, June 1, and October 1**. Go to <http://grants.nih.gov/grants/guide/pa-files/PA-00-088.html>.

Samuel H. Kress Foundation

- * Grants

Supports programs and projects in the history and preservation of European art through the early 19th century. Areas of interest include development of essential resources for art historical research and the practice of art conservation; the sharing of professional skills and experience by art historians and conservators; conservation and restoration projects; and support for the care and conservation of works of art and the preservation of European monuments.

Proposals may be submitted **at any time**. Contact Lisa Ackerman, Samuel H. Kress Foundation, 174 East 80th Street, New York, NY 10021; 212.861.4993; fax 212.628.3146; or go to <http://www.shkf.org/1998year.htm>.

U.S. Department of Agriculture

- * Food Safety

Funding categories are 1) qualitative and quantitative risk assessments; 2) control measure for food-borne microbial pathogens; 3) sources and incidence of microbial pathogens; 4) antibiotic resistant microbial pathogens; 5) improving the safety of fresh fruits and vegetables; 6) food handler education and training for consumers and youths; 7) food handler education for high-risk and hard-to-reach audiences; 8) food handler education for commercial and noncommercial audiences; 9) hazard analysis and critical control points model development; 10) integrating food safety into related agriculture problems; 11) national coordination of food safety programs and resources; and 12) a national center for home food processing and preservation.

The application deadline is **June 6, 2000**. For applications, call 202.401.5048 or go to <http://www.reeusda.gov/integrated>. For information contact Jan Singleton at 202.401.1954, fax 202.401.5179, jsingleton@reeusda.gov.

- * Water Quality

Funding categories include national facilitation proposals; regional water quality coordination; extension education; and integrated research, education, and extension projects.

The application deadline is **June 6, 2000**. For applications, call 202.401.5048 or go to <http://www.reeusda.gov/integrated>. For information contact Timothy Strickland, at 202.205.5952; fax 202.401.1706, tstrickland@reeusda.gov.

- * Pest Management

Applications for research, extension, and education activities addressing pest management priorities, particularly those related to expected regulatory losses of pesticides resulting from the 1996 Food Quality Protection Act.

The application deadline is **June 6, 2000**. For applications, call 202.401.5048 or go to <http://www.reeusda.gov/integrated>. For information contact Rick Meyer, at 202.401.4891, fax 202.401.4888, hmeyer@reeusda.gov.

National Multiple Sclerosis Society

✦ Health Care Delivery and Policy Research

Offering multi-year contracts to health service investigators for projects that address current priorities in the organization, funding, quality, outcomes, and costs of multiple sclerosis. The ultimate purpose is to provide results that can be influential in improving government and private sector policies and to service and benefit programs nation-wide.

A brief letter of intent is due **October 1, 2000**. Selected organizations will be invited to submit full proposals. Go to <http://www.nmss.org/programs/hdpr.html>.

Research Corporation

✦ Cottrell Scholars Awards

Designed for younger faculty members who wish to excel at both teaching and research, and to reinforce mentorship, communication, and a sense of collegiality in the university science departments of astronomy, chemistry, and physics. Applicants must be in the third calendar year of their first tenure track position.

The application deadline is **September 1, 2000**. Go to <http://www.rescorp.org/csguide.html>.

✦ General Foundation Awards

Offering support for projects that fall outside regular programs, but that enhance science research or that bear on the infrastructure of science; proposals may occasionally be encouraged for research projects that are exceedingly novel, that run counter to scientific paradigms, and are unlikely to achieve support from more traditional sources.

Prospective applicants must speak with a program officer before submitting a brief preliminary letter. Full proposals will be invited. Full proposals are due **September 1, 2000**. Go to <http://www.rescorp.org/genl.html>.

Bank of America Foundation

✦ Arts and Culture

The foundation supports united arts councils and arts agencies in communities where Bank of America does business. Groups that work with children in an artistic and educational capacity are of particular interest to the foundation.

Proposals may be submitted **at any time** to the local Bank of America office in the city where the proposing organization is based. The national headquarters may be contacted at Bank of America Corporate Center, 100 North Tryon Street, Charlotte North Carolina 28255-0001.

National Science Foundation

✦ Enhancing Infrastructure for the Social and Behavioral Science
NSF 000-79

Infrastructure projects may be designed to collect new data and organize them into accessible databases; to create Web-based data archiving system; to create Web-based laboratories; to establish Center programs; or some combination of these.

Proposals are due **August 4, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0079>.

✦ Information Technology Workforce
NSF 00-77

America must develop an IT workforce that is large enough to meet both the public and private sector's growing demand, and that is adept at using and producing information technologies. In that vein, NSF is requesting proposals that address important research questions related to the under-representation of women and minorities in the IT workforce. While there is no consensus on a single definition of the IT workforce, NSF encourages researchers to articulate and justify their own definition.

Proposals are due **June 22, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0077>.

✦ Partnerships for Innovation
NSF 00-82

This competition will support 15-25 promising partnerships among academe, government, and the private sector, partnerships that will explore new approaches to support and sustain innovation. It focuses on connections between new knowledge created in the discovery process to learning and innovation.

A Notice of Intent is due **June 1, 2000** (e-mail submission only); full proposals are due **July 6, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0082>.

✦ Integrative Graduate Education and Research Traineeship Program
NSF 00-78

To start a cultural change in graduate education for students, faculty, and universities by establishing new, innovative models for graduate education and training in an environment for collaborative research outside traditional disciplinary boundaries.

Preproposals are due **July 19, 2000** and **June 28, 2001**; full proposals are due **January 26, 2001** and **January 18, 2002**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0078>.

Fax number	612.624.4843	
SPA's Web site	http://www.ospa.umn.edu	
Associate Vice President, SPA	Ed Wink	624.1648 ewink@tc.umn.edu
Assistant Vice President, and Interim Director, SPA	Winifred A. Schumi	624.5750 wschumi@tc.umn.edu
Executive secretary	Michael Stewart (temp)	626.7437 spaaa@tc.umn.edu
Editor, <i>Research Review</i>	Bruce Erickson	625.2354 erick210@tc.umn.edu
EGMS		
Project Analyst, EGMS	Susan Stensland	625.3515 stenslan@tc.umn.edu
Business Help Line		612.624.1033
Technical Help line		612.624.1600
Sponsored Projects Administration, information		624.5599 spa@tc.umn.edu
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Application materials	Tove Jespersen	624.0061 tove@tc.umn.edu
Interim assistant director (Special Army)	Mary Lou Weiss	625.5856 mweiss@tc.umn.edu
NIH, USDE	Sue Marshall	625.3415 marsh068@tc.umn.edu
NIH, USDE	Dara Little	624.4121 littl025@tc.umn.edu
Foundations; USDE; NIH	Judy Krzyzek	624.2546 krzyzek@tc.umn.edu
Foundations; NIH	Mike Clements	624.0895 mclen@tc.umn.edu
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NIH; USDA; HUD; Peace Corps; FAA	Debb Grove	626.0270 grove020@tc.umn.edu
NIH, USDE, DOJ	Lorrie Awoyinka	626.2265 lorrie@tc.umn.edu
Army; Air Force; misc. federal (contracts only); NIH	TBA	624.0288 @tc.umn.edu
Navy; misc. federal (grants only); NIH	Jim Garrison	625.1359 garri005@tc.umn.edu
Interim assistant director (MN Health Dept., VA, HCFA)	Kevin McKoskey	624.5066 kevin@tc.umn.edu
NSF, NASA, DOE, Federal Labs	Launa Shun	624.2521 shunx001@tc.umn.edu
NSF, NASA, DOE, Federal Labs	Sandy Kenyon	624.9567 kenyo003@tc.umn.edu
Ag. associations, voluntary health, other private	Kate Tennessen	626.7718 tenne009@tc.umn.edu
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St. of MN	LeAnne Mfalingundi	624.2038 mfali001@tc.umn.edu
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Business and industry, health sciences	Gary Gillet	624.5571 gille013@tc.umn.edu
Business and industry, health sciences	Chris Coyne	626.8267 coyne003@tc.umn.edu
TBA	Keara Roberts	624.7021 rober120@tc.umn.edu
Patents and Technology Marketing, information: 612.624.0550; fax: 612.624.6554; web: http://www.ptm.umn.edu		ptm@tc.umn.edu
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Technology licensing	Jeff Carpenter	624.6426 carpe012@tc.umn.edu
Software licensing	Jim Hildebrand	624.9568 hilde017@tc.umn.edu
Technology licensing	Beth Trend	626.9293 btrend@tc.umn.edu
Technology transfer coordinator (Sota Tec Fund)	Dick Sommerstad	625.8826 @tc.umn.edu
Director, technology licensing (health sciences)	Michael F Moore	624.9531 moore045@tc.umn.edu
Technology licensing	Susan Patow	624.3966 patow001@tc.umn.edu
Technology licensing	Paul Korathu	624.8205 korat001@tc.umn.edu
Technology transfer liaison	Charanjeet Guron	625.8532 @tc.umn.edu
Indirect Cost, Effort Certification		
Indirect cost and other rate development	Steve Bradley	626.9895 bradl011@tc.umn.edu
Effort help line		612.625.7824 effort@tc.umn.edu
Information Services		
Interim MIS coordinator	Mary Bendtsen	624.0583 mbendts@tc.umn.edu
<i>Levels & Trends</i> and proposal and award data questions	Mary Bendtsen	624.0583 mbendts@tc.umn.edu
Duluth, Office of Research & Technology Transfer		
Sr. grant and contract administrator	Jim Loukes	218.726.7583 jloukes@ub.d.umn.edu
Morris, Grants Development, http://www.mrs.umn.edu/services/grants		
Director	Tom Mahoney	320.589.6462 mahoneyt@mrs.umn.edu
related numbers		
Sponsored Financial Reporting, fax: 612.626.0321; web: http://www.sfr.umn.edu		
Manager	Joan Donaldson	624.6026 j-dona@sfr.umn.edu
Supervisor, Vol health, foundations, ag assns, St. of MN, other private	Sue Paulson	624.5007 spaul@sfr.umn.edu
Supervisor, business and industry, federal subcontracts	Kerry Marsolek	624.8053 kerry@sfr.umn.edu
Supervisor, NIH, USDE	Pat Healy	624.7033 healy003@sfr.umn.edu
Supervisor, NSF, other federal grants and contracts	Susan Harris	624.7850 harri140@sfr.umn.edu
Research Subjects' Protection Programs, fax 612.626.6061; web: http://irb@umn.edu / http://iacuc@umn.edu		
Director	Moira Keane	626.5654 keane002@tc.umn.edu

Instructions on Changing Addresses

SPA cannot change the faculty mailing list. It is a list we *buy* monthly.

(Faculty mailing labels are those with a string of seven numbers printed above the addressee's name.)

This list is generated by Human Resources and changed in your department.

For faculty-list changes, please call your departmental payroll or Human Resources coordinator.

For changes regarding *other* labels (no numbers above the name), please complete the following:

Change Name: _____

Add Department: _____

Delete Building & Room No.: _____

Mail Delivery Code (if on campus): _____

City, State, Zip (if off campus): _____



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Research Review



Sponsored Projects Administration
Patents and Technology Marketing
Oversight Analysis and Reporting

June 2000

Volume XXIX, Number 12
<http://www.ospa.umn.edu/resrev.htm>

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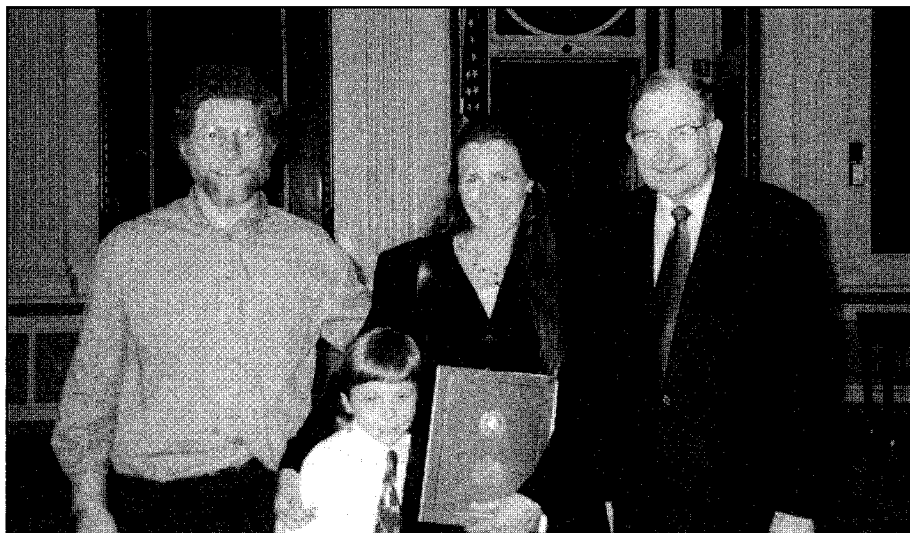
Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of the month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, erick210@tc.umn.edu.

Interrante Receives Presidential Award

On April 20, 2000 President Clinton named 20 National Science Foundation (NSF)-supported researchers as recipients of the 1999 Presidential Early Career Award for Scientists and Engineers (PECASE). Recipients included Professor Victoria Interrante of the University of Minnesota.

The Clinton Administration established the awards in February 1996. The awards are considered the highest honor bestowed by the U.S. government on outstanding scientists and engineers in the early stages of establishing their independent research careers.



Professor Victoria Interrante, center, and family, receiving the Presidential Early Career Award for Scientists and Engineers from Neil Lane, at right.

"We honor these outstanding young scientists and engineers for their research contributions, for their promise, and for their commitment to broader societal goals," President Clinton said. "They will do much to shape our society and advance our national interests in the twenty-first century."

Professor Interrante received the award from Neil Lane, the President's science advisor, for her innovative contributions emphasizing the integration of research in visualization, computer graphics, and perception and cognition. "Most of all, this award is a vote of confidence in the direction of my research," said Interrante. "It's an honor to get this kind of support."

The focus of Interrante's research in visualization is to gain insight into the science behind the art of effective visual representation. She has been looking for answers to

{continued on page 8}

RESEARCH REVIEW

Volume XXIX, Number 12

June 2000

Editor: Bruce Erickson

Editorial Assistant: Tove Jespersen

Associate Vice President: Ed Wink

Research Review is a monthly publication of the office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 450 Gateway Building, 200 Oak Street SE, Minneapolis, MN 55455-2070, or call Bruce Erickson, 612.625.2354, erick210@tc.umn.edu, or Tove Jespersen 612.624.0061, tove@tc.umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New rates effective July 2000

TA, RA, AF: standard of gross salary	\$5.28/hr	+	9.8%
TA, RA, AF: advanced master's or Ph.D.	\$.88/hr	+	9.8%
Summer session semester TA, RA, AF	—		9.8%
Summer session TA, with tuition	\$12.51/hr	+	9.8%
Summer session TA, without tuition	—		9.8%
Professional program assistant	—		9.8%
Dental fellow *	\$3.35/hr		—
Medical fellow *	\$2.64/hr		—

To the rates listed above, add 7.7% to the 9.8% when a graduate student is enrolled for fewer than 3 credits, or less than 1 credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. This is a change from previous years.

Other Job Classes

	Civil Service	Academic	Post-doc class #9546	Graduate Assistant
7/1/99 - 6/30/00	24.4%	27.6%	14.2%	15.3%
7/1/00 - 6/30/01	27.7%	27.5%	15.4%	17.5%
7/1/01 - 6/30/02	30.3%	31.1%	tba	21.1%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009.

Complete details of fringe benefit rates for all classes of UM employees are available at <http://www.budoff.umn.edu/budget/fringe.htm>.

Rate changes will be reflected in this section.

Facilities & Administrative (F&A) (Indirect Cost) Rates

The rates listed at right come from the University's most recent F&A/indirect cost agreement, dated **December 16, 1999**. This date should be used where required on applications.

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration at 612.624.5599. If you have questions on F&A/indirect cost rate development, please call Steve Bradley, 612.626.9895.

* A project is considered off-campus if more than 50 percent of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University.

Research (MTDC base)

On-campus	48.00%	FY 2000
	48.50%	FY 2001-03
Off-campus*	26.00%	FY 2000-03
SAFL on-campus	59.00%	FY 2000-03
SAFL off-campus*	26.00%	FY 2000-03
Hormel on-campus	50.00%	FY 2000-03
Hormel off-campus*	26.00%	FY 2000-03

Other Sponsored Activity (MTDC base)

On-campus	32.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

Instruction (MTDC base)

On-campus	52.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

MTDC (Modified Total Direct Cost):

Total direct cost minus:

- graduate student fringe benefits
- equipment
- capital expenditures, e.g., new building construction
- charges for patient care
- tuition remission
- rental costs of off-site facilities
- scholarships and fellowships
- the portion of each subgrant and sub-contract in excess of \$25,000

For more information on equipment and subgrants and subcontracts in excess of \$25,000, see the April 1999 *Research Review*, or go to <http://www.ospa.umn.edu/resrev.htm>.

Sponsored Projects Administration

Clarification of Restored NIH Expanded Authorities

The Office of Sponsored Projects Administration (SPA) received a clarification to NIH's January 21, 2000 letter regarding restoration of expanded authorities to the University of Minnesota. SPA interpreted NIH's letter to mean that all active projects were covered as indicated in the March issue of the *Research Review*. Below is an amended version of the message we received from NIH clarifying the restoration of our expanded authorities.

The restoration of expanded authorities as conveyed in the letter of January 21, 2000 was intended to allow the University of Minnesota authority to exercise its expanded authority on all grant awards active on or after January 21, 2000. The NIH reference to "grant awards" was meant to cover the "normal" 12-month period or any approved extension thereto including January 21st. It was not NIH's intention to restore expanded authorities to budget periods ending prior to January 21st. NIH staff needed an effective date for the return of expanded authorities to the University of Minnesota and rationalized that the letter date was the most appropriate. They reasoned, therefore, that the University could not invoke an "expanded authority" action on any grant award ending prior to January 21st, as the University would not have had expanded authorities during that period.

Nonetheless, NIH is willing to accommodate the University of Minnesota's interpretation stated in the *Research Review* with the following conditions:

- The University must submit all Financial Status Reports (FSR) requesting automatic carryover for budget periods ending prior to January 21, 2000 no later than 90-days after the close of the budget period. These FSRs cannot be a revision to a previous report.
- The University cannot revise the FSR for the sole purpose of invoking an automatic carryover.
- SPA will review all requests made for grant budget periods after October 31, 1999 to determine if they meet the accommodation criteria defined above.
- The University must submit requests for carryover of funds for grant budget periods ending prior to October 31, 1999 in a letter to NIH stating:
 - the reason for the balance
 - the impact on project objectives
 - the justification for the use of the carryover balance to complete project objectives, and
 - a budget to show the proposed allocation of the funds in both direct and F&A (indirect) costs

Principal investigators and departmental administrative staff are reminded that requests made under expanded authorities or requests addressed to NIH must be initiated by the principal investigator, recommended for approval by the department head, colleges where it is applicable, and signed by the dean, before the request is sent to SPA. Requests sent via e-mail are preferred.

For questions, please contact your grant administrator.

Update

Principal Investigator Education

In the first three months of the new Responsible Conduct of Research (RCR) workshops, 289 individuals have attended part one and 525 individuals have attended part two.

Part one covers the topics of social responsibility, reporting misconduct, authorship, peer review, and management of research data, and is required for new investigators or those who have not previously attended a workshop on Responsible Conduct.

Part two covers the topics of fiscal responsibilities, conflict of interest, and the new intellectual property policy. This workshop is required for all principal investigators. With an estimated 2,400 principal investigators, the University is offering part two workshops three or four times per month with the goal of all investigators attending by the end of the calendar year.

Workshops will continue with a variety of times, days, and places. Information on workshops is available on the web at <http://www.research.umn.edu/training>.

To register, e-mail or fax your name, department, college, e-mail address, campus address, phone number, and which workshop you wish to attend, to the Center for Human Resources Development at chrd@tc.umn.edu, or call 612.625.2574.

If you have questions or would like additional information, contact Peggy Sundermeyer at 612.262.7850.

Update**Certified Approver Program**

With a target date of June 30, 2000 for University-wide implementation of the Certified Approver (CA) Program, most departmental certified approvers are on board. Those departments without CAs must still send their documents to the Sponsored Projects Administration (SPA) for approval.

The Certified Approvers are a key part of the ongoing implementation of the new sponsored projects management model. Currently, there are almost 40 CAs with their own user group that meets regularly to discuss issues and concerns and an oversight committee chaired by Anne Mockovak. Members of the oversight committee include:

Anne Mockovak

Institute of Technology

Lan Bothwell

College of Education and Human Development

Karen Dewanz

College of Liberal Arts

Zola Hoey

Division of Epidemiology

Mary Olson

College of Pharmacy

Susan Richards

Medical School

Geri Skogen

Department of Food Science and Nutrition

Please direct questions about the Certified Approver Program to 612.625.9057, or go to the Office of Oversight Analysis and Reporting (OAR) web site at <http://www.oar.umn.edu>. See schedule at right for times and locations of the Certified Approver exams.

Certified Approver Examination Schedule

on the web at <http://www.oar.umn.edu/CA/schedule.htm>

June 2000 – December 2000

Pre-registration Required

Locations are subject to change

<u>Date</u>	<u>Day</u>	<u>Part</u>	<u>Hours</u>	<u>Room</u>
June				
6	Tuesday	2	9-12; 1-4	4-101 BSBE
13	Tuesday	1	8, 10, 1	4-101 BSBE
19	Monday	2	9-12; 1-4	215 Donhowe
20	Tuesday	2	9-12, 1-4	4-101 BSBE
28	Wednesday	1	8, 10, 1	215 Donhowe
July				
6	Thursday	1	8:30, 10:15, 1:00	9 Eddy Hall
10	Monday	2	9:15, 1:00	9 Eddy Hall
20	Thursday	2	9:15, 1:00	9 Eddy Hall
24	Monday	2	9:15 1:00	9 Eddy Hall
27	Thursday	1	8:30 10:15, 1:00	9 Eddy Hall
August				
7	Monday	2	9:15, 1:00	9 Eddy Hall
17	Thursday	1	8:30, 10:15, 1:00	9 Eddy Hall
21	Monday	2	9:15, 1:00	9 Eddy Hall
September				
11	Monday	1	8:30, 10:15, 1:00	9 Eddy Hall
25	Monday	2	9:15, 1:00	9 Eddy Hall
October				
10	Tuesday	2	8:00 a.m.	9 Eddy Hall
16	Monday	1	8:30, 10:15, 1:00	140 Nolte
24	Tuesday	2	8:00 a.m.	Eddy Hall
November				
7	Tuesday	2	8:00 a.m.	9 Eddy Hall
13	Monday	1	8:30, 10:15, 1:00	140 Nolte
21	Tuesday	2	8:00 a.m.	9 Eddy Hall
December				
5	Tuesday	2	8:00 a.m.	9 Eddy Hall
13	Wednesday	1	8:30, 10:15, 1:00	140 Nolte
19	Tuesday	2	8:00 a.m.	9 Eddy Hall

New Process and Options

EGMS Biosketches

EGMS has been re-designed to improve the process of creating proposal biosketches. Changes in both the Expertise Database and Proposal Preparation Database allow you to create custom biosketches to be printed or added to an EGMS proposal. In addition, the re-design has decreased the number of steps you use to add an individual's data from the Expertise Database to a proposal.

New features of the re-design

In the Expertise Database, you (or anyone who you have given access to your Expertise record) can create custom biosketches from your stored data. When you choose the new Edit Biosketches feature, EGMS displays the data in an Expertise record, from which you select the data items (such as publications or professional memberships) that you want to save to a custom biosketch. You can name and save up to four biosketches suited to your individual needs (featuring different subsets of publications, for example). You use

the new Print Menu feature if you want to print a biosketch (complete or customized) on the NIH biosketch form for the 398 kit.

In the Proposal Preparation Database, the previous process of adding key personnel biosketch data to a proposal required you to retrieve data items in each category (such as Education), select the items to add to a proposal, click an include button, and then repeat the process for each subsequent category. In the new, streamlined Biographical Sketch subsection:

- You use a single step to retrieve the entire Expertise record, which EGMS displays in a continuous list. You select the items that you want to use and click a single include button to add all the data to a proposal.
- If an individual who is key personnel has custom biosketches stored in the Expertise Database, you can select one of these custom biosketches and click an include button to add all of its data to a proposal.

Uses of the new biosketch

Some instances e.g. collaborations with a colleague at another institution, or a program project grant at the University, require a printed biosketch for faculty and staff, but not an entire EGMS proposal. If your data is stored in the Expertise Database, you can now print this data on NIH biosketch forms without creating an EGMS proposal or using a word-processing program to prepare a biosketch outside of EGMS.

You can also use the new EGMS features to customize your biosketch data to be displayed on the University's public Expertise Database.

What's next for EGMS biosketches

In the future, EGMS will provide print formats beyond the NIH 398 kit for biosketch data and a feature for printing Other Support Database information onto sponsor forms.

Sponsored Projects Administration

Resolving Cost Overruns on Sponsored Projects

When sponsored projects incur and charge direct costs in excess of the awarded amount, the result is a cost overrun or deficit spending. Sponsored Financial Reporting (SFR) and Sponsored Projects Administration (SPA) staff have noted a recent increase in volume in this area and, therefore, provide a reminder of the proper procedures for managing these situations.

Deficit spending on sponsored projects is inappropriate and should rarely occur. However, in rare instances when deficit spending occurs, staff must identify the deficit and move the direct cost portion from the sponsored account to departmental nonsponsored accounts.

Staff must move the deficits into nonsponsored accounts with the properly assigned function code to correctly categorize expenditures. For example:

- Move deficits with a Research-Sponsored function code of 1100 to a Research-Nonsponsored account with the function code of 1110.
- Move deficits with an Instruction Training-Sponsored function code of 0300 to an Instruction Training-Nonsponsored account with the function code of 0320.
- Move deficits with a Public Service-Sponsored function code of 2100 to a Public Service-Nonsponsored account with the function code of 2110.

It is important to move these deficits into the appropriate accounts to reduce distortion in the Sponsored Projects Administration's facilities and administrative rate proposals.

For more information, see University Procedure 3.2.5.2 or go to http://www.fpd.finop.umn.edu/groups/ppd/documents/procedure/Moving_Invalid.cfm.

Training Services Sponsored Project Administration Courses and User Labs

June-September, 2000

In the labs, support is given on all of the systems for which training is offered, plus related policies and procedures.

Pre Award:	Wednesday	July 12,	1:00-4:00 p.m.
Post Award:	Thursday	July 27	8:00-12:00 a.m.
Reporting/Closeout:	Friday	August 18	8:30-11:30
Effort Certification:	Friday	August 18	8:30-12:00
(for Effort Coordinators)			
EGMS Division Administration: .	Thursday	June 22	8:30-11:30
	Friday	July 21	8:30-11:30
	Thursday	August 24	1:00-4:00
EGMS Proposal Preparation:	Wednesday	June 7	8:30-3:30
	Tuesday	June 20	8:30-3:30 (St. Paul)
	Thursday	July 13	8:30-3:30
	Thursday	August 17	8:30-3:30
	Wednesday	September 6	8:30-3:30

User Labs:

Post-training labs where trainees are able to work one-on-one with a trainer in either the training region or the production region of CUFS, FFN, EGMS, and HRMS.

Friday	June 2	8:30-11:30	58 BioSci
Wednesday	June 7	8:30-11:30	170 Anderson
Friday	June 16	8:30-11:30	170 Anderson
Friday	June 23	8:30-11:30	58 BioSci
Friday	June 30	8:30-11:30	170 Anderson
Friday	July 14	8:30-11:30	531 WBOB
Friday	July 28	8:30-11:30	531 WBOB
Friday	August 4	8:30-11:30	170 Anderson
Tuesday	August 15	1:00-4:00	543 WBOB
Friday	August 25	8:30-11:30	531 WBOB
Wednesday	August 30	8:30-11:30	543 WBOB
Friday	September 8	8:30-11:30	531 WBOB
Tuesday	September 26	8:30-11:30	543 WBOB

Sponsored Projects Administration EGMS Improvements

University staff recently improved EGMS' proposal preparation abilities. EGMS can now help staff prepare proposals for the Minnesota Department of Transportation and it will automatically route proposals using electronic signatures to the Center for Transportation Studies.

Staff also enhanced the EGMS Expertise Database. EGMS now allows users to create and store biosketches in the various proposal formats. This means that if users save an NSF biosketch in the Expertise Database, the next time they prepare an NSF proposal they can select the stored biosketch rather than recreate a new biosketch each time. Users can also print a biosketch that is not part of a proposal directly from the Expertise Database. Currently only the NIH format is available for this function.

If you have questions, please contact the EGMS helpline at 612.624.1600.

Vice President Maziar Meets with PIs about SPA

Christine Maziar, vice president for Research and dean of the Graduate School, met with University principal investigators during the end of May and beginning of June to talk about the Sponsored Projects Administration's ability to set-up sponsored accounts more efficiently.

These meetings occurred as the June issue of the *Research Review* was going to press. Future editions of the *Research Review* will have more information about the results of these meetings.

Sponsored Projects Staff Updates

Effective May 8, 2000 Sandy Kenyon and Debb Grove were promoted into the two vacant senior grant and contract administrator positions, working in the areas supervised by Kevin McKoskey and Mary Lou Weiss, respectively.

Four new hires have been added as grants assistants. Jason Jacobs, Brett Carlson, and Kathleen Doy will work in Mary Lou's area; Keara Roberts will work in Kevin's area. All should be in place by June 1.

Jane Mikla has been hired as principal secretary working directly for Ed Wink and WinAnn Schumi.

Amy Levine is on medical leave until mid-summer.

What's New in Grants Management

An Index to Changes and Announcements

June 2000

(month 12 of UM fiscal 2000)

SPA Update 0016:	<u>University Changes F&A Rate for Clinical Trial Projects</u>
Notice Issued:	May 1, 2000
Supersedes:	
Effective date:	July 1, 2000
Change:	The F&A rate for business and industry clinical trial sponsored projects will rise from 20 percent to 23 percent.
Action to take:	See the article in the May issue of the <i>Research Review</i> .

Key Policies, Procedures, and Thresholds

Effective July 1, 2000

- Changes in the use of the Purchasing Card (See the related article in the May 2000 issue of the *Research Review*.)
- Increase in the F & A rate for Clinical Trials (See the May 2000 issue of the *Research Review*.)
- Increase in the F & A rate for Research (MTDC base) to 48.5 percent
- Changes in purchasing thresholds (See the chart below.)

Key Dollar Thresholds for Purchases

Effective July 1, 2000

Any Amount	Contracts for Professional Services (CFPS) must be forwarded to Payroll. Original copies of CFPS on sponsored funds must go to SPA for retention.
\$1,000 and up	Certified Approver (CA)* approval required for sponsored fund purchases.
\$2,000 and up	SPA must approve Contracts for Professional Services on sponsored accounts. Original copies must go to SPA for retention.
\$2,499	Purchasing Card single purchase limit. Limit is \$1,000 on sponsored fund purchases.
Under \$10,000	Departmental Small Order Process (POT) may be used. Need CA approval for purchases \$1,000 and up on sponsored fund purchases.
\$10,000 and up	Forward RX to Purchasing Services with CA approval on sponsored fund purchases. Purchasing Services will attempt to obtain at least three bids in an open, public process.
\$0 - \$99,999	Departments may use Departmental Small Order Process to place an order directly with a contract vendor for most U-wide contracts and require CA approval on sponsored purchases \$1,000 and up. (Orders off U-wide contracts for \$100,000 and over, forward RX to Purchasing).

* For questions about Certified Approvers, call 612.625.9057 or go to <http://www.oar.umn.edu>.

National Science Foundation

Regional

Grants Conference

Purdue University

West Lafayette, Indiana

October 11-13, 2000

Dr. Rita Colwell, National Science Foundation Director, and other key foundation staff will be joining the October NSF Regional Grants Conference.

The conference includes sessions covering all aspects of the NSF proposal and awards process:

- Proposal and Merit Review
- Introduction to FastLane
- Award and Administration
- Challenges, Opportunities, and New Directions
- Breakout session by discipline

For information about program content, contact the

NSF Policy Office

703.306.1243, policy@nsf.gov

or

Christine King,

Sponsored Program Development

765.494.6706,

hcking@purdue.edu.

Program and registration information will be mailed in July.

Contact

Tom Robertson

Conference Division

765.494.7220 or 800.359.2968

ext 92R

fax 765.494.0567

trobertson@conf.purdue.edu.

Interrante

{continued from page 1}

questions such as, why is one method of portraying a data set more effective than another, and what is the theoretical basis for knowing how to portray information in a way that allows it to be easily and accurately understood?

"My graduate school advisor at the University of North Carolina stressed the need to make computer graphics and pictures useful to people and society," said Interrante. "My dissertation research was driven by problems in medical imaging for radiation treatment planning. The solution had the potential to ultimately lead to better prognoses for cancer patients."

Professor Interrante's current research is a collaboration with aerospace and mechanical engineers to improve the aerodynamics of aircraft in order to decrease drag, increase combustion efficiency, and reduce pollutant output.

Nine participating federal agencies shared 60 PECASE awards for 1999 including:

- National Science Foundation
- National Aeronautics and Space Administration
- Department of Veterans Affairs
- Department of Health and Human Services: National Institutes of Health
- Department of Energy: Energy Research Programs, Defense Programs
- Department of Defense: U.S. Air Force, U.S. Army, U.S. Navy
- Department of Agriculture: National Research Initiative, Agricultural Research Service, Forest Service
- Department of Commerce: NOAA, NIST
- Department of Transportation

To be eligible for the award nominees must demonstrate a notable commitment to the integration of research and education. Award recipients each receive \$500,000 over a five-year period to further their research and educational efforts.

Information for this article came from NSF and Professor Interrante.

Pilot and Feasibility Program

sponsored by the

Minnesota Obesity Center**2000 Program Announcement**

Purpose: The goal of the Pilot and Feasibility Studies Program is to provide seed money to attract new investigators, junior or established, into the study of obesity in association with the Minnesota Obesity Center.

Grant Money Available: Selected applications will be funded at a maximum of \$20,000 per year for one year, with an option for a second year dependent on demonstrated productivity and need. Recipients will have access to additional technical support through the Core System of the Minnesota Obesity Center.

Three research cores are funded by the Center to provide services to Center investigators: 1) the Basic Mechanisms Core, 2) the Epidemiology and Intervention Core, and 3) the Metabolic Studies Core.

Examples of Services Provided Include:

- DNA sequencing at minimal cost
- access to the Eating Disorders Research Clinic at the UMHC
- services provided by the Data Collection and Services Center, the Nutrition Coordinating Center and the Laboratory of Physical Hygiene
- state-of-the-art methods for studying energy metabolism and nutrient partitioning at the whole body level in humans

Who is Eligible: 1) Junior investigators beginning their research career focusing on obesity, or 2) Senior investigators for whom obesity research is a change of direction.

Deadlines:

Call for Letters of Intent	Due July 1, 2000
Grant Proposal	Due September 1, 2000
Notice of Grant Award	Issued October 2000
Grant Funds	Received November 1, 2000

Letter of Intent: Interested investigators are asked to submit a single page letter of intent. This letter should include a statement of the hypothesis, a paragraph of background information, a description of the experimental design, a summary of the proposed methods and indicate eligibility criterion (#1 or #2 above). From these letters of intent, applicants will be selected to submit a five page grant proposal.

Letters of Intent should be mailed to:

Kate Welch, Program Coordinator
Minnesota Obesity Center
1 Veterans Drive (#151)
Minneapolis, MN 55417-2399
e-mail: welch012@tc.umn.edu

For more information, contact Kate Welch at (612) 727-5698.

More Information

To generate copies of NIH and NSF application forms, please go to EGMS at <http://nirvana.ospa.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>, or to NSF at <http://www.nsf.gov/cgi-bin/getpub?nsf003>
(For help, call the EGMS help line at 612.624.1600.)

For funding searches

Please contact the Office of the Vice President for Research
612.625.7585; facgrant@gold.tc.umn.edu
<http://www.research.umn.edu/research.html>.

To link directly to the web sites listed, go to the *Research Review* web site at <http://www.ospa.umn.edu/resrev.htm>.

Centers for Disease Control and Prevention*** Assessment of Micronutrient Status in Humans
PA 00077**

To assess micronutrient status in people at risk for micronutrient malnutrition in developing countries, and also provide assessments of rural and inner-city populations of the developing and developed world, including the U.S. The purpose is to stimulate the development, commercialization, and application of innovative technologies which are rugged, portable, easy to operate and maintain, cost effective, and sustainable.

The application deadline is **July 10, 2000**. Go to <http://www.cdc.gov> (click on funding).

*** Trauma Information and Exchange Program**

To develop a National Trauma Information and Exchange Program (TIEP). The purpose is to make data and information on trauma care more accessible to a broad spectrum of individuals and organizations.

The application deadline is **July 14, 2000**. Go to <http://www.cdc.gov> (click on funding).

U.S. Department of Agriculture*** Rural Business-Cooperative Service**

For research related to agricultural and nonagricultural cooperatives serving rural communities to encourage research on critical issues vital to the development and sustainability of cooperatives as a means of improving the quality of life in these communities.

The postmark deadline is **June 30, 2000**. For further information contact Dr. Thomas H. Stafford Director, Cooperative Marketing Division, Rural Business-Cooperative Service, USDA, Stop 3252, Room 4204, 1400 Independence Avenue SW, Washington, DC 20250-3252; 202.690.0368; thomas.stafford@usda.gov.

Department of Energy*** Training Program**

To promote multidisciplinary education and training programs for graduate students at the Masters or Ph.D. levels in the area of renewable bioproducts.

The application deadline is **June 20, 2000**. Go to <http://www.id.doe.gov/doiid/psd/proc-div.html>. Other information may be received from Marshall Garr, garrmc@id.doe.gov; 208.526.1536.

*** Nuclear Engineering Education
Research**

To 1) support basic research in nuclear engineering; 2) assist in developing nuclear engineering students; and 3) contribute to strengthening the academic community's nuclear engineering infrastructure.

The application deadline is **November 18, 2000**. Go to <http://www.id.doe.gov/doiid/psd/13860/neer2000.htm>.

**National Oceanic and
Atmospheric Administration***** Southeast Bering Sea**

To increase understanding of the southeastern Bering Sea pelagic ecosystem. New information will be used to develop and test annual indices of pre-recruit pollock abundance to support management of pollock stocks and help determine food availability to other species.

The application deadline is **July 11, 2000**. Go to <http://www.pmel.noaa.gov/sebscc>, or <http://www.cop.noaa.gov>.

National Science Foundation*** Computer Science, Engineering,
and Mathematics Scholarships
NSF 00-85**

To support scholarships for low-income students enabling them to pursue associate, baccalaureate, or graduate level degrees in computer science, computer

{next page}

technology, engineering, engineering technology, or mathematics. Academic institutions apply for awards and are responsible for selecting recipients.

An optional letter of intent is requested by **June 16, 2000**; full proposals are due **August 3, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0085>.

*** Faculty Early Career Development Program
NSF 00-89**

A program recognizing and supporting the early career development activities of those faculty members who are most likely to become the academic leaders of the 21st century. Awardees are selected on the basis of creative, integrative, and effective research and education career development plans.

Deadlines are **July 25, 2000** for Biological Sciences, Computer and Information Science and Engineering, Education and Human Resources; **July 26, 2000** for Engineering; and **July 27, 2000** for Geosciences, Mathematical and Physical Sciences, Social Behavioral and Economic Sciences, and the Office of Polar Programs. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0089>.

*** Doctoral Dissertation Improvement Grants
NSF 98-151**

To provide partial support of dissertations in selected areas of the biological sciences to improve the overall quality of the research and allow doctoral candidates to conduct research in specialized facilities or field settings away from the home campus.

The application deadline is the third Friday in November, annually: **November 17, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0095>.

*** Mathematical Sciences Research
NSF 00-86**

To establish institutes that will advance research in the mathematical sciences and/or the interface of the mathematical sciences and other disciplines.

{next column}

The application deadline is **January 16, 2001**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0086>.

**Department of Defense
Army Research Office**

*** Physiology and Performance**

The Army Research Office (ARO) supports basic research on the response and adaptation to environmental signals, and strategies that organisms employ to survive adverse environmental conditions; the molecular and genetic basis of adaptive behaviors such as hibernation and sleep; the molecular events involved in sensory processes and how they are impacted by stresses of various kinds; reducing the degradation of human performance during extended operations or under stressful conditions; and improving soldier sustainment, especially new technology for rations.

Submission is continuous through **September 30, 2001**. Go to <http://www.aro.army.mil/research/baa98-1/2baa98.htm#bio>.

Army Medical Research and Materiel Command

*** Neurotoxin Exposure Treatment Research Program**

Studies on the pathophysiology and treatment of neurodegenerative diseases, including Parkinson's disease, and including environmental and stress exposure factors encountered in military operations which may be neurotoxic or lead to neurodegenerative conditions.

Letters of intent are requested by **August 16, 2000**; full proposals are due **September 20, 2000**. Go to <http://www-usamraa.army.mil>.

Naval Air Warfare Center

*** Intelligent Tutoring and Expert Systems**

Potential topics of research include: 1) model-based student diagnosis; 2) unique and innovative user/computer interface design; 3) explanation generation; and 4) knowledge engineering tools.

Proposals may be submitted continuously through **December 31, 2000**. Go to http://www.ntsc.navy.mil/contract/rfp/preview.cfm?RFP_ID=285&doc_type=7.

Office of Naval Research

*** RF Solid State Devices**

To develop solid state low noise and power devices for use in communications, fire control, surveillance, EW, and multifunctional RF systems.

Proposals must be submitted no later than **August 30, 2000**. Go to http://www.onr.navy.mil/sci_tech/information/onrpgagq.htm.

Mellon Foundation, Andrew W.

*** Liberal Arts Colleges Program**

Provides grants to institutions of higher education in cultural affairs and the performing arts, in population, in conservation and environment, and in public affairs.

Applications may be submitted **at any time**. Go to <http://www.mellon.org/lac.html>.

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Morris, Grants Development, http://www.mrs.umn.edu/services/grants		
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Instructions on Changing Addresses

SPA cannot change the faculty mailing list. It is a list we buy monthly.

(Faculty mailing labels are those with a string of seven numbers printed above the addressee's name.)

This list is generated by Human Resources and changed in your department.

For faculty-list changes, please call your departmental payroll or Human Resources coordinator.

For changes regarding *other* labels (no numbers above the name), please complete the following:

Change Name: _____

Add Department: _____

Delete Building & Room No.: _____

Mail Delivery Code (if on campus): _____

City, State, Zip (if off campus): _____



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Minneapolis, Minnesota 55455-2070

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Research Review



Sponsored Projects Administration
Patents and Technology Marketing
Oversight Analysis and Reporting

July 2000

Volume XXX, Number 1
<http://www.ospa.umn.edu/resrev.htm>

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Your News Here!

Research Review welcomes contributions. It arrives in campus mail about the 10th of the month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, erick210@tc.umn.edu.

Sponsored Projects Administration VP Maziar Speaks to Principal Investigators

Christine Maziar, vice president for Research and dean of the Graduate School, recently held three sessions for principal investigators (PIs) and department administrators to talk about the Sponsored Projects Administration (SPA) and Project SPA – Implementing Quick Hit Improvements. In addition, these sessions provided an opportunity for faculty and staff to voice their questions, comments, and concerns regarding SPA to Maziar.

Maziar began the sessions by acknowledging that SPA has had problems completing account set-ups and subcontracts in a timely manner. She explained that these problems were partly caused by a lack of resources in the office resulting from budget cuts and high turnover levels. Maziar emphasized the importance of investing time and resources into SPA's infrastructure to improve its customer service orientation, and support the endeavors of the University's research community.

After acknowledging the problems and highlighting some of the reasons for the problems, Maziar talked about the actions she is taking to improve the overall effectiveness of SPA. First of all, Maziar increased the office's recurring budget to add more staff. Consultants from Arthur Andersen, working on Project SPA, helped expedite the recruiting and hiring process. As of June 16th, the office was fully staffed at the Senior Grant and Contract Administrator (Senior GA) and Grant and Contract Administrative Assistant (GA) levels. SPA officials and Maziar hope the additional staff will provide much needed help to an organization short on resources for several years.

Additionally Maziar mentioned that as the new employees were trained, Arthur Andersen staff and experienced SPA personnel focused their efforts on reducing the award set-up backlog. From March 2nd through June 14th, SPA completed 1,781 Notice of Grant or Contract Awards (NOGAs) while receiving 1,363 awards. The combined staff reduced the number of awards on the backlog list from 1,378 on March 2nd to 954 as of June 14th. As the new staff complete training and begin working on the research administration processes, SPA expects to continue decreasing the number of awards on the list. The target number of awards on the list at any given time is between 600-800 awards. Of the 600-800 awards remaining on the list, 200-300 are being held by the sponsoring agency, requiring their action before SPA can complete the award. SPA staff are processing the other 400-500 awards. Once the list is down to this level, SPA expects to provide more timely service to their customers.

If you have any questions on Project SPA, please contact Ed Wink at 612.624.1648.

RESEARCH REVIEW

Volume XXX, Number 1

July 2000

Editor: Bruce Erickson

Editorial Assistant: Tove Jespersen

Associate Vice President: Ed Wink

Research Review is a monthly publication of the office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 450 Gateway Building, 200 Oak Street SE, Minneapolis, MN 55455-2070, or call Bruce Erickson, 612.625.2354, erick210@tc.umn.edu, or Tove Jespersen 612.624.0061, tove@tc.umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New rates effective July 2000

TA, RA, AF: standard of gross salary	\$5.28/hr	+	9.8%
TA, RA, AF: advanced master's or Ph.D.	\$.88/hr	+	9.8%
Summer session semester TA, RA, AF	—		9.8%
Summer session TA, with tuition	\$12.51/hr	+	9.8%
Summer session TA, without tuition	—		9.8%
Professional program assistant	—		9.8%
Dental fellow *	\$3.72/hr		—
Medical fellow *	\$2.64/hr		—

To the rates listed above, add 7.7% to the 9.8% when a graduate student is enrolled for fewer than 3 credits, or less than 1 credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. This is a change from previous years.

Other Job Classes

	Civil Service	Academic	Post-doc class #9546	Graduate Assistant
7/1/99 - 6/30/00	24.4%	27.6%	14.2%	15.3%
7/1/00 - 6/30/01	27.7%	27.5%	15.4%	17.5%
7/1/01 - 6/30/02	30.3%	31.1%	tba	21.1%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009.

Complete details of fringe benefit rates for all classes of UM employees are available at <http://budoff.umn.edu/budget/fringe.htm>.

Rate changes will be reflected in this section.

Facilities & Administrative (F&A) (Indirect Cost) Rates

The rates listed at right come from the University's most recent F&A/indirect cost agreement, dated **December 16, 1999**. This date should be used where required on applications.

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration at 612.624.5599. If you have questions on F&A/indirect cost rate development, please call Steve Bradley, 612.626.9895.

* A project is considered off-campus if more than 50 percent of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University.

Research (MTDC base)

On-campus	48.00%	FY 2000
	48.50%	FY 2001-03
Off-campus*	26.00%	FY 2000-03
SAFL on-campus	59.00%	FY 2000-03
SAFL off-campus*	26.00%	FY 2000-03
Hormel on-campus	50.00%	FY 2000-03
Hormel off-campus*	26.00%	FY 2000-03

Other Sponsored Activity (MTDC base)

On-campus	32.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

Instruction (MTDC base)

On-campus	52.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

MTDC (Modified Total Direct Cost):

Total direct cost minus:

- graduate student fringe benefits
- equipment
- capital expenditures, e.g., new building construction
- charges for patient care
- tuition remission
- rental costs of off-site facilities
- scholarships and fellowships
- the portion of each subgrant and sub-contract in excess of \$25,000

For more information on equipment and subgrants and subcontracts in excess of \$25,000, see the April 1999 *Research Review*, or go to <http://www.ospa.umn.edu/resrev.htm>.

Covering all the bases

EGMS User Support Options

Your EGMS continuation proposal is due in the departmental office in two days and you aren't sure how to exclude your equipment purchase from the EGMS F&A (indirect cost) calculation or how to make your EGMS-generated progress report fit the page limit. What's your next move? What assistance options support new and experienced EGMS users?

Two places to start on the EGMS Home Page

You can click on the EGMS Home Page's *EGMS User Support* link to access a list of EGMS support and training. You can review the electronic help options, print materials, classes and labs, and helpline phone numbers for options that best suit your needs.

You can also click on the User Guide logo (to the right of the EGMS title banner) to access the EGMS User Guide in either a PDF (for printing or reading online) or HTML



version (for reading online). The User Guide contains overview material, tips, and step-by-step instructions for the EGMS databases. The PDF version also includes a detailed index and glossary. If you like to use software manuals, start with the User Guide. Although the User Guide is not current with some of

the recent software

updates, the information is largely accurate and answers many frequently asked questions. Updated information is "under construction." The User Guide is distinct from the reference materials provided through Training Services and is available only from the EGMS Home Page.

Three ways to dialogue with helpline staff

Do you want to ask a question? Call one of the two EGMS helplines or use the EGMS mailbox.

The EGMS technical helpline, 612.624.1600, can address problems with your browser, with printing EGMS forms, and with entering or editing data. The technical helpline is staffed during evening and weekend hours the last week of each month *prior* to NIH deadlines. As the number of proposals in progress increases, the extended hours are advertised on the EGMS Home Page.

The SPA EGMS business helpline, 612.624.1033, can address how to use EGMS for a particular business issue, such as a salary cap or to prepare a modular proposal. If you're not sure which number to call, helpline staff at either phone number will listen to your question and redirect your call if necessary.

The EGMS mailbox, egms@boombox.micro.umn.edu, is the place to send questions and comments. Helpline staff members answer e-mail questions in writing or call the sender back to provide assistance.

One great opportunity: individual EGMS instruction in training labs

To get your feet wet with EGMS or to get help with a proposal in progress, try the EGMS open lab. An experienced EGMS Grants Assistant from SPA provides one-on-one tutoring every Wednesday morning on the Minneapolis East Bank campus in Room 664, Children's Rehabilitation Center (just south of the Boynton Health Service building). Bring your proposal, questions, or your interest in EGMS and receive personal assistance or a tour of EGMS.

Training Services offers assistance in open labs on the Duluth, Minneapolis (West Bank), and St. Paul campuses that addresses technical use of EGMS, as well as other University systems, such as Financial FormsNirvana. The schedule and location of the Training Services open labs are available through a hyperlink on the *EGMS User Support page*.

No registration is required for either open lab option.

QuickHelp: the online help system is online

You can now access the EGMS online help system, QuickHelp, on many EGMS screens. Click the QuickHelp icon in a screen's bottom left corner to view abbreviated help for that screen. The QuickHelp system will be featured in a future *Research Review* column.

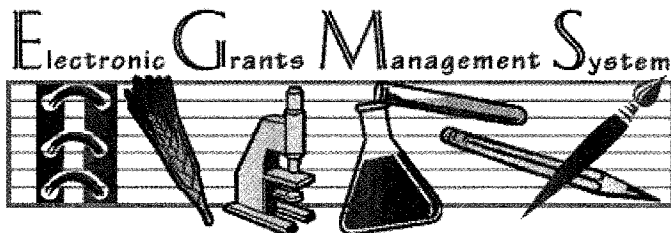
NSF

New Password Changes

FastLane has begun the change to use Passwords (6-20 characters) instead of the present four character PINs. You will notice that the word "PASSWORD" replaces the word "PIN" on the login screens for Principal Investigator and Organizational Management functions. Users may continue to use their PIN until the system asks for a Password to be used during all subsequent logins.

NSF is transitioning users based on the first letter of their last name (from A through Z). Passwords must contain at least one alphabetic character and at least one numeric character. By requiring this combination, it will be more difficult for passwords to be guessed. If you have any questions about the new password, please see the PIN-to-PASSWORDS Q&A document located on the FastLane website at <https://www.fastlane.nsf.gov/fastlane.htm>.

NSF is anticipating that this password system can support paperless processing by serving as the basis of a legally valid "electronic signature." There will be a pilot of the electronic signature process with a group of volunteer institutions immediately following the initial transition from PINs to passwords.



New Features Available in EGMS

We want to keep you up-to-date on enhanced and new EGMS features. Look for this occasional update list in *Research Review*.

In the Proposal Preparation Database:

- **Prime Funding Source** (Proposal Settings screen): Minnesota Department of Transportation (MnDOT) added to the drop-down list; ability to prepare MnDOT forms in EGMS.
- **Biographical Sketch & Other Support subsection** (Key Personnel section): split section to create Biosketch and Other Support subsections.
- **Biosketch subsection** (Key Personnel section): new, streamlined process for adding Expertise Database information to a proposal, as well as the option to add custom biosketches created in the Expertise Database to a proposal.
- **Principal Investigator** (Proposal Settings screen): EGMS sends the PI name entered here to fill the PI data fields in the Budget and Key Personnel sections.
- **U of M key personnel** (Key Personnel subsection): for the individuals entered here, EGMS draws the demographic information from the Expertise Database into the proposal biosketch.

In the Expertise Database:

- **Main Menu:** access to database functions and subsections consolidated to this screen and buttons for three new features (Edit Biosketches, Update Log, and Print Menu) added.
- **Community of Science:** feature is unavailable while COS is being redesigned.
- **Create custom biosketches from Expertise data** (Edit Biosketches screen): for a proposal, for display on

the University's public Expertise Database, or for printing.

- **Print biosketch data** (Print Menu screen): print Expertise data on NIH Form 398's biosketch pages.
- **Track activity on a record** (Update Log screen): a listing of what subsections have been worked on and by whom for a particular Expertise record.

- **Suppress data from the public database:** individuals you have included in your Expertise Group can suppress your record for you on the Edit Biosketches screen.

On the Proposal Routing Form (PRF) in the OSPA Forms Database:

- **Question 8** (Co-investigators) and **Question 16** (Space): no ceiling on the number of entries allowed; continuation pages created/printed as needed.
- **Question 13d** (Projects involving recombinant DNA, infectious agents, or biological toxins): registration form status of Pending added as an option.
- **Question 19** (Use of Fairview University Hospital resources): Question and answer appear on the printed (PDF) version of the PRF.

What's New in Grants Management

An index to changes and announcements

July 2000

(month one of UM fiscal 2001)

Index for fiscal 2000

SPA Update 0001	Revised Managing Sponsored Projects Manual
SPA Update 0002	New PI Report Available: Main/Multiple Project Summary
SPA Update 0003	Revisions to Program Income Policy
SPA Update 0004	New Policy on Education in the Responsible Conduct of Sponsored Research and Grants Management
SPA Update 0005	PRFs required for proposal revisions
SPA Update 0006	Web-based PRF Form Required
SPA Update 0007	New policy on Reporting Violations of Policy or Law
SPA Update 0008	New policy on Uncollectible Costs Charged to Sponsored Projects
SPA Update 0008*	New Intellectual Property Policy *(unintentional duplicate numbering)
SPA Update 0009	Revised Principal Investigator Eligibility Policy
SPA Update 0010	A new procedure entitled <i>Adjusting or Correcting Internal Accounting Transactions Involving Sponsored Projects</i> (Revised Cost Transfer Guidelines)
SPA Update 0011	New policy on Requesting Facilities and Administrative (Indirect) Cost Waivers
SPA Update 0012	New Academic Health Center Policy on Research Performed at Fairview or Employing Fairview Resources
SPA Update 0013	New Facilities and Administrative (Indirect) Cost Rates
SPA Update 0014	New Threshold for Routing Documents to Sponsored Projects Administration
SPA Update 0015	Revised Managing Sponsored Projects Manual
SPA Update 0016	University Changes F&A (Indirect) Rate for Clinical Trial Projects

Interdisciplinary Research and Postbaccalaureate Education Grant Awards

The Office of the Vice President for Research and Dean of the Graduate School is pleased to announce ten Interdisciplinary Research and Postbaccalaureate Education grant awards to begin July 1, 2000. Following is a list of recipients of the three Planning Grants and the seven Center Grants.

American Indian Sovereignty Center (Planning Grant)

\$17,000 over two years

College of Liberal Arts

For more information, contact Patricia C. Albers, 612.625.8050, alber033@tc.umn.edu

This planning grant will seek to join faculty from the American Indian Studies Department with faculty in the Law School, the Colleges of Agriculture and Natural Resources, and CLA departments in geography, anthropology, history, and American studies. These faculty have a shared vision of and interest in establishing an American Indian Sovereignty Center which would be the first of its kind in the United States. The Center is intended to focus on work in two broadly defined and related areas: 1) policy, law, and the environment, and 2) culture, language, and history. More specifically, its purpose is to create a place, both conceptually and physically, that would join University faculty, students, and staff with tribal and community agencies to pursue educational, scholarly, and outreach projects of mutual interest and benefit. The two-year planning grant will support preliminary organizational efforts. The funds will be used to identify and organize interdepartmental lines of collaboration, not only within the College of Liberal Arts but in other colleges as well, particularly Law, Agriculture, and Natural Resources. Also, the funds will be used to generate support among the various tribal nations and urban communities the University serves, and in the process, to identify mutual interests and potential projects for joint sponsorship. Finally, the funds will be used to identify and seek potential funding sources through grants and contracts but especially through endowments that would insure the Center's future fiscal stability.

Natural Organic Matter: Soil And Water Quality, Water Treatment, & Plant Growth (Center Grant)

\$68,000 over two years

College Of Agricultural Food & Environmental Science, Institute of Technology

For more information, contact Paul R. Bloom, 612.625.4711, pbloom@soils.umn.edu

Natural organic matter (NOM) in natural waters and soils is very crucial in controlling bioavailability and environmental mobility of many nutrient and toxic metals and human-made organic compounds. Components of NOM are involved in important reactions that occur during the treatment of wastewater and drinking water and are active in the stimulation of plant growth. In 1998 a NOM Center planning committee was formed and funded for planning activities for 1998-99 and 1999-00. At the

recent North Central NOM Workshop, attended by 35 leading NOM scientists in the region, the idea for a NOM center received enthusiastic support and the attendees endorsed a plan for a continuing series of North Central NOM meetings. The planning activities resulted in communication among NOM researchers and graduate students within the University, and with faculty from other universities, that would not otherwise have occurred. It also resulted in the initiation of collaborative research activities. The new funding will be used to initiate center-building activities in 2000-2003, including: 1) conducting a program of training of faculty and graduate students in advanced analytical techniques; 2) obtaining an aquatic NOM sample to be used as a comparison standard, 3) conducting a seminar series; 4) continuing to promote and operate the NOM e-mail discussion list and NOM web page; 5) hosting the North Central NOM Conference in 2002; and 6) generating funding for collaborative research. Project directors expect that activities of the NOM Center will make the University the premier university in the U.S. for NOM research.

Child Abuse Prevention Studies: Building an Interdisciplinary Perspective (Planning Grant)

\$20,000 over two years

College of Human Ecology, Academic Health Center, Education & Human Development, Public Health, Human Ecology

For more information, contact Jeffrey L. Edleson, 612.624.8795, jedleson@tc.umn.edu

Child abuse prevention has become an area of great concern to educators and practitioners throughout the country. As we have defined child abuse legally, created child protection agencies, removed abused children from abusers, and educated the public, there is a critical need to provide interdisciplinary education for social workers, nurses, law enforcement officers, teachers, and others responsible for reporting, counseling, educating, and referring clients to one another. University faculty currently provide post-baccalaureate education in this area through the Child Abuse Prevention Studies certificate program. Faculty believe it is time to undertake a planning process to expand the base of interdisciplinary support for this program, showcase current child abuse research, and explore new methods of graduate curriculum delivery. The project's objectives include: identify key faculty working in child abuse prevention, intervention, and treatment research to serve on an interdisciplinary task force; guide members of the task force in an advisory function to develop innovative graduate and post-baccalaureate curricula and create the most effective methods of course delivery (interactive television, web-

based curricula, and classroom teaching); provide training opportunities for students, faculty, and practitioners through a series of lectures and seminars that highlight current research. This project will build interdisciplinary support and position the project's participants to seek further funding from sources outside the University. It will benefit from Minnesota's strong commitment to violence prevention and child welfare and serve as a model to other states by creating the strongest research-based graduate scholarship and the most innovative forms of distance learning.

Center for Plants and Human Health (Center Grant)

\$100,000 over two years

College Of Agriculture, Food & Environmental Science, Medical School

For more information, contact Gary Gardner, 612.624.3606, ggardner@tc.umn.edu

The Center for Plants and Human Health will serve to stimulate collaborative interaction among scientists at the University interested in how plants and plant products may be used to improve human health and nutrition. The potential for plants and plant products to contribute to human health goes under a wide variety of labels — phytonutrients, nutraceuticals, functional foods, complementary and alternative medicine, etc. — a process that encompasses plant science, natural products chemistry, pharmacology, nutrition, and laboratory and clinical medicine. It includes the development of raw produce and processed foods effective in prevention and treatment of disease, as well as identification of naturally-occurring plant products that may have preventative and curative properties when used in a purified form. It also includes the testing of these foods and compounds for efficacy and toxicity in humans and animals. The University is one of the few major research universities in the country that has both an academic health center and a college of agriculture. The Center expects to provide a forum for the development and interchange of information relevant to plants and human health and to serve as a stimulant for interdisciplinary collaboration leading to new research opportunities and funding in this vital area.

JUNCTION Magazine (Center Grant)

\$100,000 over two years

College of Liberal Arts, University College

For more information, contact Patricia Hampl, 612.625.3546, hampl@tc.umn.edu

Junction will provide a much-needed collaboration between the Department of English and the School of Journalism as a national bi-monthly magazine. The award will fund editorial positions. The mission of *Junction*—to be the intersection of literature and journalism—places the magazine at the center of contemporary print media, where readers seek work that addresses the issues of the day in a style both informed and personal. *Junction* will foster work across literary divides and also among disciplines with little history of acknowledging one another. The magazine will publish fiction and poetry, but its emphasis will be on a wide range of today's most exciting nonfiction, from reportage and documen-

tary pieces to the personal essay and innovative cross-genre work. *Junction* will also bridge the unfortunate historic division between Journalism and English. While these two fields appear to have much in common, they have long existed as separate worlds. *Junction* will provide a platform for this vital collaboration.

The Twin Cities is the strongest literary center in America outside of New York, and is one of the few metropolitan areas that supports two independent daily newspapers. This climate offers the University an exceptional opportunity to support a magazine of cultural definition that will draw national attention. In addition to its bimonthly publication schedule, the magazine's other outcomes include 1) internships, training, employment and other opportunities for graduate and undergraduate students, 2) enhanced curriculum across fields, 3) an interactive website, 4) a presence for the University in the dynamic publishing scene in Minnesota.

Molecular Nanosciences Alliance for Interdisciplinary Studies and Activities (MONALISA) (Center Grant)

\$100,000 over two years

Institute of Technology, College of Biological Sciences, Pharmacy

For more information, contact Richard A. Kiehl, 612.625.8073, kiehl001@tc.umn.edu

The goal of the Molecular Nanosciences Alliance for Interdisciplinary Studies and Activities (MONALISA) is to stimulate interactions that will lead to interdisciplinary collaborations in research and education in molecular nanoscience and nanotechnology. Molecular nanoscience is an emerging interdisciplinary field that combines the study of molecular/biomolecular systems with the science and technology of nanoscale structures. The potential applications are very broad and include such possibilities as 1) the use of biomolecules and cellular systems to self-assemble nanoelectronic circuitry and other nanoscale structures and 2) the use of lamellar host frameworks containing nano pores that can be tailored to include guest molecules for separation of chemicals for pharmaceutical and other applications. Although Minnesota has strong expertise in many individual programs relevant to this diverse field, the key to developing competitive research proposals will be the establishment of alliances between faculty and students from disciplines that traditionally have had little overlap. The formation of this center comes at a particularly opportune time when the necessity of forming synergistic teams has become more appreciated by individual researchers and when funding is soon to be made available through a new national nanotechnology initiative (FY2001). By serving as a forum for interdisciplinary study and research activities among experts from three University colleges covering the departments of chemistry, electrical & computer engineering, chemical engineering & material science, genetics, cell biology & development, mechanical engineering, and pharmaceuticals, this center will provide an important step toward the convergence needed for establishing pioneering research programs in this promising new field.

Interdisciplinary Program in Human Rights (Planning Grant)

\$20,000 over two years

College of Liberal Arts, Law School

For more information, contact Gloria Goodwin Raheja,
612.625.8547, raheja@tc.umn.edu

The Institute for Global Studies (IGS) - in cooperation with the University Human Rights Center (HRC) at the Law School, International Women's Rights Action Watch at the Hubert Humphrey Institute of Public Affairs, and the Center for Holocaust and Genocide Studies - will begin a new interdisciplinary human rights initiative at the University which will strengthen graduate education, research, and eventually undergraduate education at the University. The first objective of the human rights initiative will be the development of an interdisciplinary graduate minor course of study in human rights, in which students complete a requisite number of academic credits in human rights both inside and beyond their major course of study. With this minor, project directors intend to broaden the scope of human rights activity at the University by making this program of study available to graduate students across the University's many colleges and disciplines. The directors envision a program that provides a comprehensive set of courses, research opportunities and internship possibilities in human rights. Planning for this program includes an extensive inventory of opportunities available at the University, development of two new interdisciplinary graduate seminars in human rights, as well as identification of curricular needs in this area. The second objective of the project is the development of a research agenda linking the University with the extensive human rights community in Minnesota and developing a more significant human rights presence at the University.

Minnesota Population Research Institute (Center Grant)

\$100,000 over two years

College of Liberal Arts, Carlson School Of Management, School of Public Health, Humphrey Institute of Public Affairs

For more information, contact Steven Ruggles, 612.624.5818,
ruggles@hist.umn.edu

The study of human population is pertinent to a wide variety of academic disciplines. The dramatic expansion of data sources and computing power during the past decade has multiplied the power of demographic analysis and increased the demand for research and training in all areas of population studies. The University is well positioned to become a leader in this rapidly growing field. Minnesota is the strongest university in the United States in the fields of historical demography and population geography, and it also has notable depth in policy-relevant population research, economic demography, public health population studies, and family demography. This project seeks to build infrastructure that will capitalize on these assets. The Population Research Institute will foster connections among population researchers across disciplines, and will open up new opportunities for large-scale collaborative externally funded research projects. It will assist investigators in developing new proposals and will provide technical and administrative support for those projects

once they are funded. The Population Research Institute will allow University researchers to leverage their resources by sharing three common research "cores:" data archiving and extraction tools, computing facilities and support, and grant administration services. The Institute will also develop a coherent program of graduate training to provide students with broad knowledge in population studies and specialized training in demographic techniques. Finally, it will develop outreach to the community through research and training on state and metropolitan population issues.

Limnology: A Virtual Center for Limnology at the University of Minnesota (Center Grant)

\$100,000 over two years

Institute of Technology, College of Natural Resources, College of Biological Sciences, School of Public Health, Science & Engineering (Duluth), Education & Human Service Professions (Duluth)

For more information, contact Robert W. Sterner, 612.625.6790,
stern007@tc.umn.edu

Limnology is an interdisciplinary environmental field. Defined by units of the earth's surface rather than by academic subject, limnology is the science of inland waters, including streams, lakes and ponds, and encompasses biology, chemistry, physics, geology and other sciences. The University has a large and diverse community of faculty and students doing limnological research and teaching. This project seeks to continue efforts to bring this widespread community together for several major efforts. An annual retreat will be continued, as will interdisciplinary seminars. A large proposal for an IGERT award in limnology will continue to be developed so these efforts can produce significant external funding. In addition, the award will fund graduate student stipends. To recognize the expansion in efforts, the name "Center for Limnology" will be used along with the eye-catching label, "iMNology." The Center is planned to be entirely virtual, and to complement, not compete, with the many strong aquatic units around the University.

Schochet Center for Gay, Lesbian, Bisexual, Transgender (GLBT) Studies (Center Grant)

\$100,000 over three years

College of Liberal Arts, Multicultural Affairs, College of Human Ecology, School of Public Health, Medicine, College of Biological Sciences, General College

For more information, contact Gary Thomas, 612.624.3527,
thoma002@tc.umn.edu

Over the past decade, the interdisciplinary study of gender and sexuality has become an exciting and active field of academic inquiry, scholarly research, and community interest. While the earliest examinations of sexuality occurred within medical and social science disciplines, recent investigations of the meaning and constructions of gender and sexuality have led to additional significant scholarly work in diverse academic areas such as cultural studies, english, history, visual arts, music, political science,

Sponsored Financial Reporting Work-Study Employee Salaries

The functionality of crediting departmental accounts for a percentage of work-study employee salaries will not be implemented with the main PeopleSoft modules on June 24. The tentative date for implementation of this functionality is September 25, 2000. This means that the credit of 70 percent or 80 percent of a work-study student's salary between June 19, 2000 and September 24, 2000 will not be credited to departments until after September 24, 2000.

What does this mean for sponsored accounts? If your department is paying a work-study student employee on a sponsored project then this salary must be paid from a non-sponsored account. This will minimize the risk of:

- invoicing or collecting from sponsors for unallowable expenses
- credits not being processed because a project ended or
- requiring justification for credits being processed against sponsored accounts after final reports have been submitted to agencies.

Once the work-study functionality is implemented at the end of September, departments should update the student's distribution record or process an Historical Salary Adjustment to transfer the salary expense to the appropriate sponsored account.

If you have questions please call the HRMS helpline at 612.625.2016.

Changes in Form used to Correct Salary Charges

Beginning June 19th with the implementation of the PeopleSoft system, the name of the form used to correct salary charges has changed. This form is now *Historical Salary Adjustment* rather than *Type 38*. There are two important points to note:

There is no historical data in Peoplesoft because of the differences in how information is stored in the database. To view information prior to June 19th, use Legacy (the old system).

The old Legacy system will retain the term Type 38. References to this form will not be converted.

If you have questions, please call the Human Resources Management System helpline at 612.625.2016.

Type 38 = Legacy
Historical Salary Adjustment = Peoplesoft

National Institutes of Health IRB Review of Proposals

NIH has announced a change in policy regarding the timing of IRB review of research involving human subjects.

The previous policy required IRB review and approval *at the time of submission* of an application, or within 60 days of submission. To ease the burden on IRBs (fewer than half of all proposals are funded by NIH), NIH has revised its policy such that IRB review is not required until *after* peer review and the application has been judged to be in the fundable range. NIH is still developing guidelines on how institutions and PIs can determine the fundable range based on the application's priority score/percentile.

This change in NIH policy must not be misunderstood as changing the requirements that all research involving human subjects or animals must have protocols approved by the IRB or IACUC before such research may commence. It must also be understood that this new policy pertains *only* to NIH proposals.

Check the *Research Review* for further information as it becomes available.



Interdisciplinary Grants *[continued from previous page]*

public health, education, and family social science. Increasingly, Gay, Lesbian, Bisexual, Transgender (GLBT) research has become a central category of analysis and understanding in diverse cultural contexts and time periods. The goal of GLBT studies is to understand the multiple ways that gender and sexuality influence everyone's personal, social, economic, and political lives. To foster the development of this interdisciplinary study of gender and sexuality, this project will develop a GLBT Studies Center at the University. The Center's institutional home will be in the College of Liberal Arts, while its courses, projects, and staff will reflect the interdisciplinary and intercollegiate nature of the field. The award will be used to develop the program components of the Schochet Center for GLBT Studies. These components include: curriculum coordination and development; interdisciplinary research and scholarship; lectures, forums, colloquium, and artistic programming; training and development of GLBT educators; support for university and community partnerships; and the development of a GLBT Studies Archive (in partnership with University libraries.)

More Information

To generate copies of NIH and NSF application forms, please go to EGMS at <http://nirvana.ospa.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>, or to NSF at <http://www.nsf.gov/pubs/2000/nsf002/start.htm> (For help, call the EGMS help line at 612.624.1600.)

For funding searches

Please contact the Office of the Vice President for Research
612.625.7585; facgrant@gold.tc.umn.edu
<http://www.research.umn.edu/research.html>.

University of Minnesota Executive Vice President and Provost

* Technology Enhanced Learning

The Office of the Executive Vice President and Provost (EVPP) is sponsoring the Technology Enhanced Learning (TEL) Small Grants Program. The purpose is to assist faculty involved in developing and implementing technology enhanced learning projects, particularly those that exemplify instructional or curricular innovation. Selection criteria are:

- Significance of the project's contribution to the advancement of TEL and likelihood of its contribution to student learning;
- Quality of the project's evaluation plan;
- Feasibility of the project's timetable and budget;
- Evidence of department support;
- Evidence of the project's long-term sustainability and integration into the curriculum.

Grants of up to \$10,000 are available to University faculty members in all departments on all campuses. Funds must be matched by the college/department.

The application deadline is **September 8, 2000**. Application forms are available at <http://www.umn.edu/dmc/initiatives/small-grants/appl-00.shtml>. If you have questions, or for further information, contact Linda Jorn, Digital Media Center, 612.626.7320, ljorn@mailbox.mail.umn.edu.

American Cancer Society

* Research Scholar Grants

The Research Scholar Grants for Health Services and Health Policy and Outcomes Research supports research projects that are initiated by investigators at any stage in their careers. Funding is offered up to \$250,000 per year for four years with an option of renewal for an additional four years.

The next deadline is **October 15, 2000**. Go to <http://www.foundationcommons.org>.

Crane-Rogers Foundation

* John O. Crane Memorial Fellowship

To provide individuals an opportunity to develop an understanding of an issue, country, or region (currently Eastern Europe and the Middle East). Fellows must study abroad, and fellowships are for two years for individuals under 36.

Applicants should first submit a letter of interest. Full proposals must be submitted by **April 1** or **September 1**, annually. Go to <http://www.icwa.org/programs.htm>.

Tinker Foundation

* Institutional Grants

The Foundation is concerned with issues critical to the political, social, and economic progress of Latin America, Spain, Portugal, and Antarctica. Grants are awarded for projects having strong public policy implications for these regions.

The next deadlines are **October 1, 2000**, and **March 1, 2001**. Go to <http://fdncenter.org/grantmaker/tinker/institut.html>.

Thrasher Research Fund

* Innovative Program

Supporting research in areas of major child health problems; priority is given to practical, applied projects with the potential to benefit large numbers of children.

There are **no deadlines**. Applicants are encouraged to consult with fund personnel before submitting a prospectus. Go to http://www.thrasherresearch.org/Submission_Guidelines/Submission_Guidelines.htm.

George Gund Foundation

* Civic Affairs Grants

Priorities are encouraging education and research designed to make government organizations and functions more effective, increasing and improving the quality of citizen participation in public affairs, and enhancing the ability of citizens to respect each other's rights.

There are four deadlines annually, the next is **September 30, 2000**. Go to http://www.gundfdn.org/programs_apply_f.html.

Ford Motor Company Fund

* Arts and Humanities

Programs are directed toward projects that have a community interest, offer educational opportunities, and are accessible to a wide audience.

There are no deadlines. Go to <http://www.ford.com/default.asp?pageid=250>.

✱ **Environment**

Supporting research and advancement of environmental education, conservation, and other environmental programs that benefit communities. Both long- and short-term programs are eligible.

There are **no deadlines**. Go to <http://www.ford.com/default.asp?pageid=250>.

National Emergency Medicine Association

✱ **Research Grants**

Grants with an emphasis on cardiac-related clinical and applied research, wellness education programs, and trauma support services.

There are **no deadlines**. Go to <http://www.nemahealth.org/grantintro.html>.

United Nations

Food and Agriculture Organization

✱ **Technical Cooperation Programme**

To increase food production and raise the income and nutritional standards of small farmers and rural workers of member nations. Priority is given to Least Developed Countries (LDC) to Low-income Food Deficit Countries (LIFDC), and to small-scale producers and workers.

There are **no deadlines**. Applicants are advised to contact the sponsor for further information before submitting an application. Go to <http://www.fao.org/WAICENT/FAOINFO/TCD/tcd/tcdt/Default.htm>.

Department of Defense

Air Force Office of Scientific Research

✱ **Defense University Research Instrumentation**

To purchase costly equipment in support of research and research-related education in areas of interest to major defense science agencies. Awards average about \$200,000, must be more than \$50,000, and may range to \$1 million.

The deadline is **August 17, 2000**. Go to <http://www.afosr.af.mil>. Select "Research Opportunities;" or contact Robert Latin, 703.696.7312, fax 703.696.7320, robert.latin@afosr.af.mil.

Army Medical Research and Materiel Command

✱ **Defense Health Research Program**

To support military health-related research; all proposals should address the relevance of the proposed topic to the military.

A letter of intent is requested by **July 26, 2000**; full proposals are due **August 23, 2000**. Go to http://www-usamraa.army.mil/baa/dhrp_baa.htm.

U.S. Fish and Wildlife Service

✱ **North American Wetlands**

For matching small grants to promote long-term conservation of North American wetland ecosystems, waterfowl and other migratory birds.

The application deadline is **December 1, 2000**. Contact Keith Morehouse, 703.358.1784, fax 703.358.2282.

National Science Foundation

✱ **Research Experiences for Undergraduates**
NSF 96-102

Program supporting active research participation by undergraduate students. There are two mechanisms: REU Supplements (included in proposals for new or renewal grants or as supplements to ongoing grants); REU Sites (independent proposals to initiate and conduct undergraduate research).

The annual deadline is **September 15**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf00107>.

✱ **Scholar-In-Residence at NIH**
NSF 00-97

NSF and NIH have established a partnership to enable investigators in the mathematical and physical sciences and engineering to work at NIH to make connections between their research and current and future problems in the medical and biological sciences, and biomedical engineering.

Proposals are accepted on a **continuing basis**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0097>.

✱ **Division of Physics**

The target date for proposal submission to the Division of Physics is **September 27, 2000**. This date does not apply to proposals sent in response to foundation-wide solicitations. The Division entertains submission in the following areas:

- Atomic, Molecular, Optical, and Plasma Physics
- Elementary Particle Physics
- Gravitational Physics and LIGO
- Education and Interdisciplinary Research
- Nuclear Physics
- Nuclear and Particle Astrophysics
- Theoretical Physics

Go to <http://www.nsf.gov/cti-bin/getpub?nsf00105>.

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Instructions on Changing Addresses

SPA cannot change the faculty mailing list. It is a list we *buy* monthly.

(Faculty mailing labels are those with a string of seven numbers printed above the addressee's name.)

This list is generated by Human Resources and changed in your department.

For faculty-list changes, please call your departmental payroll or Human Resources coordinator.

For changes regarding *other* labels (no numbers above the name), please complete the following:

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Delete Building & Room No.: _____

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August 2000

Volume XXX, Number 2
<http://www.ospa.umn.edu/resrev.htm>

Administration and Conduct of Sponsored Work

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Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of the month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, erick210@tc.umn.edu.

SPA Names Ramseyer Manager of New Position

Richard Ramseyer joined the Sponsored Projects Administration (SPA) last month to manage industrial grants and contracts. In this new position, Ramseyer will serve as an ombudsman between University faculty and private industry to help facilitate research agreements and technology transfer. "I hope to be a matchmaker between university professors and private industry leaders and an ambassador to those companies who haven't heard from the University in a while."



Ramseyer comes to the University with over 20 years of research experience from Honeywell where he was the director of business development and technology transfer. While at Honeywell, Ramseyer generated new revenue through the transfer of new technologies, led strategic planning for Honeywell's Technology Center, and organized efforts to identify and utilize new opportunities for growth worldwide.

The University created this new manager position to develop relationships with industrial sponsors and increase industrial support of University research. "The University needs staff capable of serving as liaisons between the business community and faculty researchers to help create mutually beneficial links between these two groups," said Christine Maziar, vice president for Research and dean of the Graduate School.

Another goal for Ramseyer will be to create standard contract language and master agreements with key sponsors to make it easier for faculty researchers to work on industrially-sponsored research contracts. The agreements would build an environment that is consistent, easily managed, and respectful of the needs and rights of both the industrial and University partners.

Today, many corporations are facing increased stockholder demands for profits, and less federal money available for private-sector research. As a result, they are cutting their internal research programs while trying to keep pace with cutting edge scientific and technological developments. "Corporations are downsizing their own R&D facilities and looking for more research partnering opportunities with universities and their faculty," said Ramseyer. For fiscal year 1999, industrially sponsored research accounted for about nine percent of externally funded support for universities.

"I'm excited for the opportunity to work for the University. I plan to meet with deans, department heads, and faculty to get their input and let them know that I can offer help if they want or need it. I would like to add an ounce of business development to their pounds of genius and expedite delivery to the marketplace," said Ramseyer.

Ramseyer's office is at 450 University Gateway and you may email him at ramse016@tc.umn.edu or call him at 612.624.6096 if you have any questions.

RESEARCH REVIEW

Volume XXX, Number 2

August 2000

Editor: Bruce Erickson

Editorial Assistant: Tove Jespersen

Associate Vice President: Ed Wink

Research Review is a monthly publication of the office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 450 Gateway Building, 200 Oak Street SE, Minneapolis, MN 55455-2070, or call Bruce Erickson, 612.625.2354, erick210@tc.umn.edu, or Tove Jespersen 612.624.0061, tove@tc.umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New rates effective July 2000

TA, RA, AF: standard of gross salary	\$5.28/hr	+	9.8%
TA, RA, AF: advanced master's or Ph.D.	\$.88/hr	+	9.8%
Summer session semester TA, RA, AF	—		9.8%
Summer session TA, with tuition	\$12.51/hr	+	9.8%
Summer session TA, without tuition	—		9.8%
Professional program assistant	—		9.8%
Dental fellow *	\$3.72/hr		—
Medical fellow *	\$2.64/hr		—

To the rates listed above, add 7.7% to the 9.8% when a graduate student is enrolled for fewer than 3 credits, or less than 1 credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. This is a change from previous years.

Other Job Classes

	Civil Service	Academic	Post-doc class #9546	Graduate Assistant
7/1/99 - 6/30/00	24.4%	27.6%	14.2%	15.3%
7/1/00 - 6/30/01	27.7%	27.5%	15.4%	17.5%
7/1/01 - 6/30/02	30.3%	31.1%	tba	21.1%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009.

Complete details of fringe benefit rates for all classes of UM employees are available at http://process.umn.edu/groups/ppd/documents/rates/fringe2000_01.cfm.

Rate changes will be reflected in this section.

Facilities & Administrative (F&A) (Indirect Cost) Rates

The rates listed at right come from the University's most recent F&A/indirect cost agreement, dated **December 16, 1999**. This date should be used where required on applications.

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration at 612.624.5599. If you have questions on F&A/indirect cost rate development, please call Steve Bradley, 612.626.9895.

* A project is considered off-campus if more than 50 percent of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University.

Research (MTDC base)

On-campus	48.00%	FY 2000
	48.50%	FY 2001-03
Off-campus*	26.00%	FY 2000-03
SAFL on-campus	59.00%	FY 2000-03
SAFL off-campus*	26.00%	FY 2000-03
Hormel on-campus	50.00%	FY 2000-03
Hormel off-campus*	26.00%	FY 2000-03

Other Sponsored Activity (MTDC base)

On-campus	32.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

Instruction (MTDC base)

On-campus	52.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

MTDC (Modified Total Direct Cost):

Total direct cost minus:

- graduate student fringe benefits
- equipment
- capital expenditures, e.g., new building construction
- charges for patient care
- tuition remission
- rental costs of off-site facilities
- scholarships and fellowships
- the portion of each subgrant and sub-contract in excess of \$25,000

For more information on equipment and subgrants and subcontracts in excess of \$25,000, see the April 1999 *Research Review*, or go to <http://www.ospa.umn.edu/resrev.htm>.

National Science Foundation Reminder: Transfer of Principal Investigator

If a Principal Investigator (PI) plans to leave an organization during the course of a grant, the organization has the prerogative to nominate a replacement PI or request that the grant be terminated. Replacement PIs are subject to NSF approval. In those cases where a particular PI's participation is integral to a given project and the PI's original and new organizations agree, formal notification of the impending transfer countersigned by the Authorized Organizational Representatives of both the original and new organizations must be made to the NSF Program Office using NSF Form 1263. The required certifications on page 2, Certification Page, must be signed by both the Principal Investigator (s) and the Authorized Organizational Representative of the new organization. The completed transfer request (NSF Form 1263) must be accompanied by:

- a brief summary of progress to date;
- a description of work yet to be accomplished; and
- a budget for the amount to be transferred.

Signing of the request constitutes agreement by the new organization to assume responsibility for completion of the project effort and to administer the grant (as originally awarded) from the transfer date to completion in accordance with any special terms and conditions and the applicable general terms and conditions that normally govern NSF awards made to the new organization.

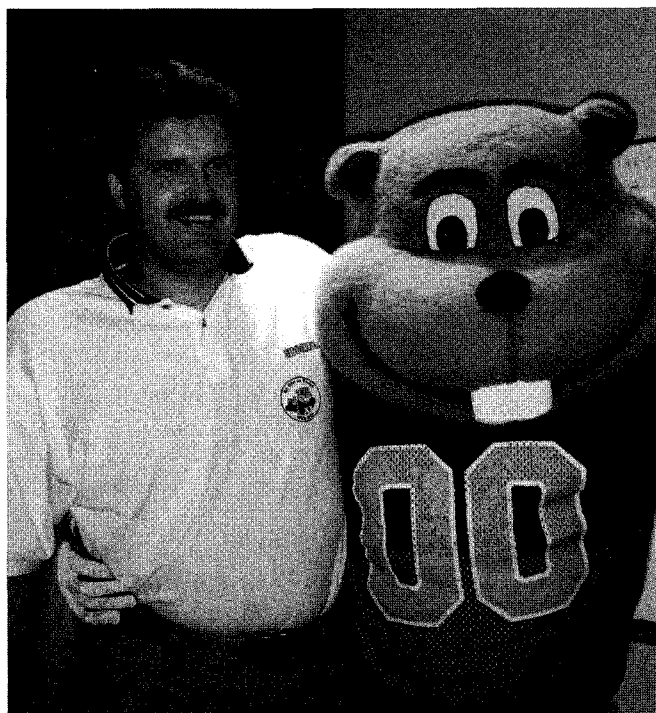
Upon transfer of the grant to the new organization, any monetary discrepancies must be resolved between the original and the new grantee. In circumstances where NSF's interests are adversely affected by such discrepancies, it reserves the right to resolve the situation. The NSF FastLane system is not yet available for NSF Grant Transfer Requests.

Upon receipt of the above material, NSF will review the request and, if approved, deduct the specified transfer amount from the original award and re-establish it under a new grant number at the new organization. Signature of the NSF Grants Officer will constitute formal

ratification of the grant transfer. At that time, the Grants Officer will also specify the applicable terms and conditions to govern the award, (i.e., NSF GC-1, FDP, or other Terms and Conditions).

Equipment purchased with NSF funds for use in a specific project should remain available for use for the duration of the project. PIs who are in the midst of projects that included funding for equipment and who will continue the project at a new organization with NSF support should be able to arrange with their original organization to have the equipment transferred with them. Shipping costs for such equipment may be charged to the original or transferred grant as an allowable cost. Budgets should not include funds to "buy" equipment that had been previously obtained with Federal funds.

* This article is excerpted from GPM Section 312 and GPM Exhibit III-2 for NSF Form 1263, *NSF Grant Transfer Request*. Also, located on the NSF web site at <http://www.nsf.gov/bfa/cpo/forms/start.htm>.



Sponsored Project Administration Todd Morrison

On July 1, 2000, Todd Morrison died suddenly of a heart attack. He was 46 years old.

Todd worked for Sponsored Projects Administration for 20 years, progressing from grant administrator to assistant director. He left SPA in October of 1998 to work for the Metropolitan Transit Commission as Grants Manager. He remained in touch with friends at SPA, returning for some social occasions, and as a member of the office bowling team.

Todd is survived by his parents John and Gloria Morrison, his son Scott Morrison, two sisters, other relatives and friends, including his many former colleagues at SPA.

Our sympathies are extended to his family.

QuickHELP

EGMS

An online help tool for EGMS proposal preparation

Last month, we provided a summary of several of the help options available to support EGMS users: print materials, training classes, open labs, and phone and e-mail helplines. This month, we describe QuickHelp, the EGMS online help system. Because the content is updated frequently by the EGMS support staff and it is available whenever and wherever you

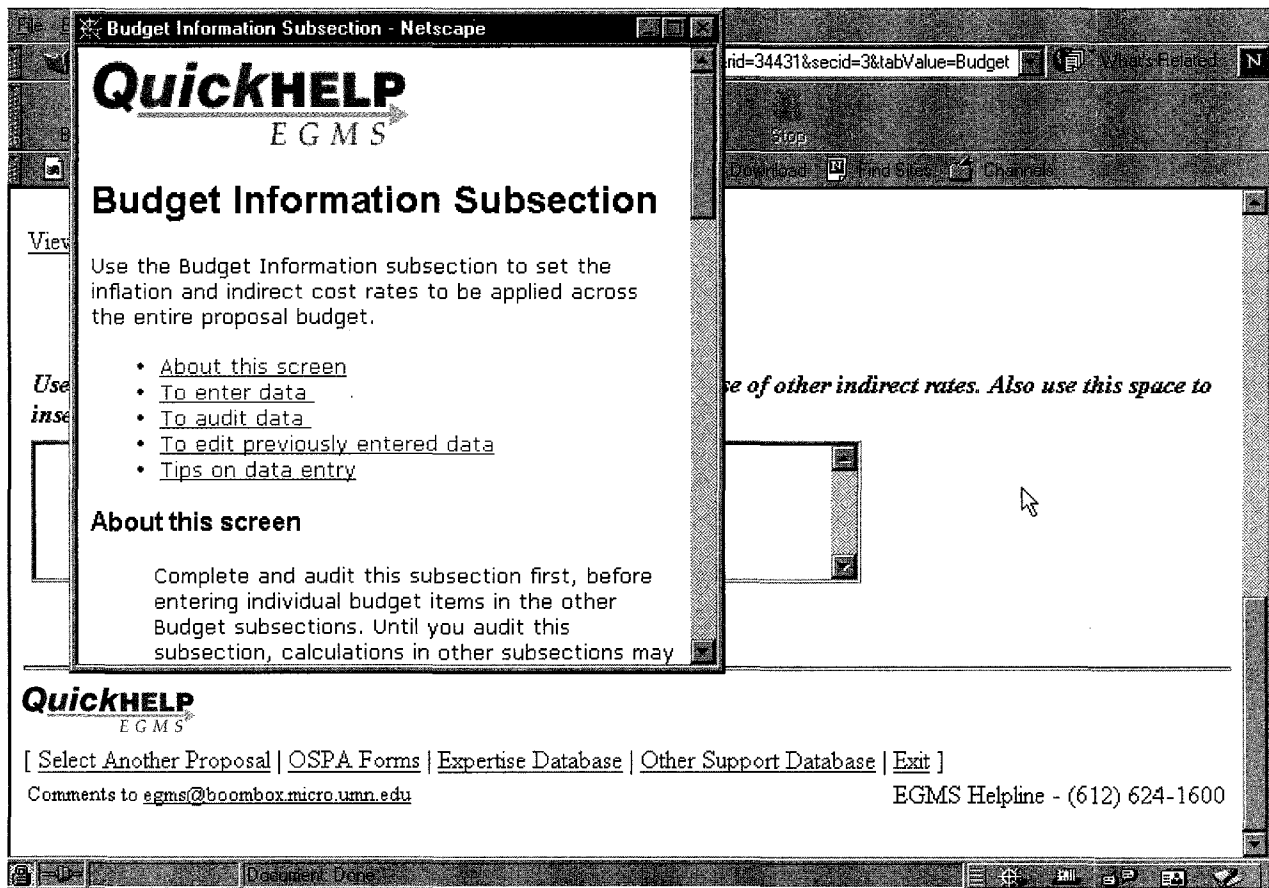
are using EGMS, QuickHelp is an ideal user assistance option.

What is QuickHelp?

QuickHelp is a system of pop-up windows providing screen-specific help as a proposal is being developed, without requiring navigation between windows to access information.

When you click the QuickHelp icon in the bottom left corner of the EGMS screen, a medium-sized window pops up and displays basic information on requirements for that section or screen and tips for data entry. With QuickHelp, EGMS remains open in the background. You can close the QuickHelp window and return to EGMS at any time.

[next page]



EGMS QuickHelp: The pop-up window as it displays in front of the EGMS data-entry screen. You can navigate the text quickly using the links at the top of each QuickHelp screen or scroll to the desired text. You may also move, minimize, or maximize the QuickHelp window as you choose.

QuickHelp, continued**What kind of information is in QuickHelp?**

Each QuickHelp text is written to support use of a particular EGMS data-entry screen. In general, the QuickHelp for each EGMS data-entry screen includes:

- A purpose statement (see screen print on previous page, for example).
- A section called **About this screen**, which provides a variety of hints, such as information on mandatory fields or other screen requirements, tips on auditing or moving to another data-entry screen, and definitions.
- Brief sections called **To enter data** and **To edit previously entered data**.
- A section called **Tips for data entry**, which provides tips for completing some of the individual data fields on the screen.

An example of a data field tip, from the Budget Information subsection:

Default inflation rate: Depending upon the specific sponsor, EGMS inserts a default inflation rate that will apply to all budget items. You can change the default rate applying to all items here; if you change the default rate, provide a justification. In addition, each subsection allows for modification of the inflation rate for individual budget items.

Which EGMS screens are supported by QuickHelp?

Currently, QuickHelp is available on almost all screens in the Proposal Preparation Database. QuickHelp will be posted soon for screens in the Expertise and Other Support Databases.

Development and posting of online help for the OSPA Forms Database will occur at a later date.

What if QuickHelp doesn't answer your question?

QuickHelp is brief in scope, as it is written to fit in a limited space and to navigate easily. As such, QuickHelp cannot anticipate every circumstance or question that you may have.

For those questions not answered by QuickHelp, contact the EGMS technical (612.624.1600) or business (612.624.1033) helplines or use the EGMS mailbox, egms@boombox.micro.umn.edu.

Certified Approver Examination Schedule

on the web at <http://www.oar.umn.edu/CA/schedule.htm>

August 2000 – December 2000

Pre-registration Required

Locations are subject to change

Date	Day	Part	Hours	Room
August				
7	Monday	2	9:15, 1:00	9 Eddy Hall
17	Thursday	1	8:30, 10:15, 1:00	9 Eddy Hall
21	Monday	2	9:15, 1:00	9 Eddy Hall
September				
11	Monday	1	8:30, 10:15, 1:00	9 Eddy Hall
25	Monday	2	9:15, 1:00	9 Eddy Hall
October				
10	Tuesday	2	8:00 a.m.	9 Eddy Hall
16	Monday	1	8:30, 10:15, 1:00	140 Nolte
24	Tuesday	2	8:00 a.m.	Eddy Hall
November				
7	Tuesday	2	8:00 a.m.	9 Eddy Hall
13	Monday	1	8:30, 10:15, 1:00	140 Nolte
21	Tuesday	2	8:00 a.m.	9 Eddy Hall
December				
5	Tuesday	2	8:00 a.m.	9 Eddy Hall
13	Wednesday	1	8:30, 10:15, 1:00	140 Nolte
19	Tuesday	2	8:00 a.m.	9 Eddy Hall

Patents and Technology Marketing Staff Updates

Teika Pakalns recently joined Patents and Technology Marketing (PTM) as a licensing assistant in the area of Mechanical, Chemical, Electrical, and Biological (MCEB) technologies. She has a B.A. in chemistry from the University of St. Thomas, and a Ph.D. in Materials Science and Engineering from the University of Minnesota. She previously worked as a research scientist at SurModics in Eden Prairie.

The vowels in her name are short; her first name may be pronounced as "Take-a." She is deaf, but can hear sounds (voices, music, and environmental noises) at normal levels. When you talk with her, expect to use a creative combination of speaking, signing, lipreading, writing, and even typing!

Jim Hildebrand has been advanced from Licensing Assistant to Licensing Associate.

Paul Korathu, Licensing Associate, left PTM in June to continue his education.

VP Research and Graduate School Change in Deadline

The Office of the Vice President for Research and Dean of the Graduate School would like to alert faculty members to a change in the usual deadline for fall applications to the Grant-in-Aid for Research, Artistry and Scholarship program.

The deadline this year is Monday, **September 25, 2000**, which is approximately one week earlier than usual. Policy and application information is available at <http://www.research.umn.edu/research/fundsrc.html>. Please contact the Research Support Services office at 612.625.2356 or facgrant@umn.edu if you have any questions about the program.

What's New in Grants Management

An Index to Changes and Announcements

August 2000

(month 2 of UM fiscal 2001)

SPA Update 017: Changes to Pre-award Process

Issued: August 1, 2000

Supersedes: Procedure 2.1.7.1, Establishing Pre-award or Advance Accounts (March 1999)

Change: Revision to procedure, See the article below.

Sponsored Projects Administration has
Simplified the Advance and Pre-award Account
Request Process

Effective immediately, requests to set up advance and pre-award accounts do not need a justification unless required to do so by the requestor's department. In addition, they will not need Sponsored Projects Administration's (SPA) approval before SPA can set up the account. All that SPA requires is:

- Principal investigator name and academic unit
- Proposal title and sponsor
- Project start date
- Start date for the account (for pre-award—cannot be prior to the final signature date of the request)
- Nonsponsored account number on which to put the charges if the award is not made
- Budget/object codes that the grant administrator should establish
- Signatures of principal investigator and department head (and, if required locally, dean)

Since SPA establishes sponsored accounts, these requests must still be sent to the grant administrator. The grant administrator will check requests to make sure that this information is included before setting up the account.

The preaward/advance account request form has been modified to reflect these changes. This form may be found in SPA's website at <http://www.ospa.umn.edu>.

Research Animal Resources

Research Animal Resources is happy to help you recruit.

Are you trying to entice an up-and-coming research scientist to put down roots at the maroon and gold university of the future? If your faculty candidates use animals in their research, contact Research Animal Resources during the recruiting process. We'll be happy to show candidates around the facilities and discuss available resources and support services for their animal-based research activities. You may visit our web site at <http://www.ahc.umn.edu/rar> or call us at 612.624.9100.

National Institutes of Health NIH Modifies Modular Grant Application Requirements

The National Institutes of Health (NIH) announced a number of changes to the modular grant application effective for the September 2000 application cycle.

The changes include:

- budgets must provide a narrative for all personnel by position, role, and level of effort, including consultants and any "to be appointed" positions. Previously, NIH only required this information for key personnel
- effective September 1, 2000 NIH will reject and will not review grants not submitted in accordance with the modular grant application requirements. NIH will consider these applications to be noncompliant if:
 1. The requested direct cost budget is not in modules of \$25,000 for all years of support for requests up to \$250,000 per year;
 2. A detailed itemized categorical budget is provided;
 3. Or if the biographical sketch lists "Current and Pending Support" instead of or in addition to the required information.

Other changes are outlined at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-00-046.html>. SPA will provide more information about these changes on their website at <http://www.ospa.umn.edu> and in future issues of the *Research Review*.

Institutional Review Board New Initiatives

Secretary of Health and Human Services, Donna E. Shalala recently described several new initiatives for Institutional Review Boards which will affect researchers. The text of the press release is listed below followed by the guidance document on education issued by the National Institutes of Health. A brief description of how the University of Minnesota IRB will implement the new protections follows. It should be noted that HHS has not issued full guidelines or expectations for all of these initiatives. Some modifications in plans may be required as HHS plans are revealed.

Press Release:

Tuesday, May 23, 2000

Contact: HHS Press Office 202.690.6343

Secretary Shalala Bolsters Protections for Human Research Subjects

HHS Secretary Donna E. Shalala today announced several new initiatives to further strengthen protections of human research subjects in clinical trials, including those involving gene transfer. The department's actions are designed to heighten government oversight of biomedical research and to reinforce to research institutions their responsibility to oversee their clinical researchers and institutional review boards (IRBs).

"In the last few years, we've seen dramatic advances in the effort to find new therapies for cancer and other diseases, and we've taken new steps to protect the safety of patients in clinical trials," Secretary Shalala said. "But the explosion in biomedical research has also brought new challenges, as more researchers are becoming involved in commercial ventures that may create new ethical dilemmas. Today's actions are designed to further strengthen government oversight of all biomedical research, including gene transfer research, and to reinforce institutions' and researchers' responsibility to follow internationally accepted ethical standards and federal guidelines."

The actions taken by HHS focus on expanding education and training for all clinical investigators and IRB members and staff; enhancing the informed consent process and ensuring more vigilant monitoring and oversight; ensuring that researchers understand and comply with federal conflict of interest regulations; and pursuing efforts to provide the Food and

Drug Administration (FDA) with additional enforcement tools to enhance its oversight role. They also respond to a request from President Clinton to examine ways to ensure patient safety and increase public confidence in clinical trials.

Secretary Shalala also stressed the responsibility of the leaders of universities and academic medical centers to oversee IRBs. "Recent reports of problems in gene transfer trials have highlighted the new pressures facing researchers, IRBs, and research institutions themselves," she said. "Protecting patient safety, and ensuring informed consent, is a shared responsibility. I want to urge university presidents, leaders of our academic medical centers, and others involved in biomedical research to take a hard look at oversight of clinical trials, their partnerships with the private sector, their own ethical guidelines, and the support and guidance they give their IRBs. Public confidence in clinical trials is essential to the continued advances in medicine we all hope to see in the next century."

"We must ensure that patients are well protected and properly informed when they choose to enroll in a clinical trial," said FDA Commissioner Jane E. Henney, M.D. "By maintaining high standards and requiring that all investigators adhere to them, we can be sure that the nation's biomedical research enterprise will continue to earn the trust of research subjects."

"We are constantly exploring new and effective ways to enhance systems to strengthen protections for human research subjects without unduly burdening IRBs," added Ruth Kirschstein, M.D., acting director of the National Institutes of Health (NIH). These new initiatives should significantly improve communication among researchers, patients and the IRBs."

Today's announcements address the following issues:

Education and Training

HHS will undertake an aggressive effort to improve the education and training of clinical investigators, IRB members, and associated IRB and institutional staff. NIH, FDA and the Office for Protection from Research Risks (OPRR) will work closely together to ensure that all clinical investigators, research administrators, IRB members and IRB staff receive appropriate research bioethics training and human subjects research training. Such training will be a requirement of all clinical investigators receiving NIH funds and will be a condition of the NIH grant award process and of the OPRR assurance process.

Informed Consent

NIH and FDA will issue specific guidance on informed consent, clarifying that research institutions and sponsors are expected to audit records for evidence of compliance with informed consent requirements. For particularly risky or

complex clinical trials, IRBs will be expected to take additional measures, which, for example, could include third-party observation of the informed consent process. The guidance will also reassert the obligation of investigators to reconfirm informed consent of participants upon the occurrence of any significant trial-related event that may affect a subject's willingness to participate in the trial.

Improved Monitoring

NIH will now require investigators conducting smaller-scale early clinical trials (Phase I and Phase II) to submit clinical trial monitoring plans to the NIH at the time of grant application, and will expect investigators to share these plans with IRBs. The NIH already requires investigators to have such plans and they also require large scale (Phase III) trials to have Data and Safety Monitoring Boards (DSMBs). For research on medical products intended to be marketed, FDA will also issue guidelines for DSMBs that will delineate the relationship between DSMBs and IRBs, and define when DSMBs should be required, when they should be independent, their responsibilities, confidentiality issues, operational issues and qualified membership.

Conflict of Interest

NIH will issue additional guidance to clarify its regulations regarding conflict of interest, which will apply to all NIH-funded research. HHS will also hold public discussions this summer to find new ways to manage conflicts of interest so that research subjects are appropriately informed, and to further ensure that research results are analyzed and presented objectively. In addition, these public discussions also will focus on clarifying and enhancing the informed consent process. Based on these public forums, NIH and FDA will work together to develop new policies for the broader biomedical research community, which will require, for example, that any researchers' financial interest in a clinical trial be disclosed to potential participants.

Civil Monetary Penalties

HHS will pursue legislation to enable FDA to levy civil monetary penalties for

violations of informed consent and other important research practices up to \$250,000 per clinical investigator and up to \$1 million per research institution. While FDA can currently issue warning letters or impose regulatory sanctions that halt research until problems are rectified, financial penalties will give the agency additional tools to sanction research institutions, sponsors and researchers who do not follow federal guidelines. As an interim step, NIH, OPRR and FDA will work more closely together to enforce and target existing penalties.

For more than 50 years, HHS agencies have been committed to protecting individuals from possible abuse or harm in clinical trials and to ensuring that prospective and enrolled participants understand the potential risks and benefits, if any, of being a research subject. In 1972, OPRR was created as part of NIH to ensure the safety and welfare of people who participate in research sponsored by HHS. In 1981, FDA followed up by revising its regulations to require written informed consent in all studies of products that FDA regulates. Today, FDA,

NIH and OPRR continue to play important and complementary roles in overseeing research and protecting the human subjects involved. More resources may be needed to fully implement these responsibilities in the years ahead.

These agencies work with IRBs to ensure that people who agree to participate in studies fully understand the nature of the research and willingly consent to participate. This "informed consent" process requires that potential participants be given an explanation of purposes of the research, the expected duration of the subject's participation, a description of the procedures to be followed and their potential risks and benefits, and identification of any procedures that are experimental. Research institutions such as academic health centers and universities have the ultimate responsibility to ensure that clinical investigators adhere to this informed consent process.

In addition, NIH has issued "Required Education in the Protection of Human Research Participants."

(see below)

Required Education in the Protection of Human Research Participants

Release Date: June 5, 2000

NOTICE: OD-00-039

National Institutes of Health

Policy: Beginning on October 1, 2000, NIH will require education on the protection of human research participants for all investigators submitting NIH applications for grants or proposals for contracts or receiving new or non-competing awards for research involving human subjects.

Background: To bolster the Federal commitment to the protection of human research participants, several new initiatives to strengthen government oversight of medical research were announced by HHS Secretary Shalala on May 30, 2000. This announcement also reminds institutions of their responsibility to oversee their clinical investigators and institutional review boards (IRBs). One of the new initiatives addresses education and training. This NIH announcement is developed in response to the Secretary's directive.

U of M Implementation

Before funds are awarded for competing applications or contract proposals involving human subjects, investigators must provide a description of education completed in the protection of human subjects for each individual identified as "key

personnel" in the proposed research. Key personnel include all individuals responsible for the design and conduct of the study. The description of education will be submitted in a cover letter that accom-

(next page)

panies the description of Other Support, IRB approval, and other information in accordance with Just-in-Time procedures. The use of a cover letter is also acceptable for contract proposals. After October 1, 2000, investigators submitting non-competing renewal applications for grants or annual reports for research and development contracts that involves human subjects research must also include a description of such education in their annual progress reports. This NIH policy will eventually be superseded by the DHHS Office of Research Integrity's institutional assurance on the responsible conduct of research, which is described below.

Related Training Requirement

The Office of Research Integrity (ORI), Department of Health and Human Services, is developing a policy to implement an extension of the training requirement on the responsible conduct of research (RCR) to all persons supported by PHS research. The protection of human subjects in research will be included in the RCR institutional assurance. A draft of this policy will be posted for comment on the ORI website in June, 2000.

Educational Resources

While all investigators need education in the basics of human subjects research, some may elect more intensive study if their work involves especially difficult topics or special populations. Many institutions already have developed educational programs on the protection of research participants and have made participation in such programs a requirement for their investigators. The NIH does not plan to issue a list of "endorsed" programs. Rather, the NIH points out that a number of curricula are readily available to investigators and institutions.

For example, all NIH intramural investigators and research administrators who oversee clinical projects are required to complete the on-line tutorial "Protection of Human Research Subjects: Computer-Based Training for Researchers". (See <http://helix.nih.gov:8001/ohsr/newcbt/>) While this training module was devel-

oped for NIH staff, it can be downloaded at no cost and modified for use in other institutions, if desired.

To facilitate education and the development of curricula, NIH launched a website on bioethics in 1999. (See <http://www.nih.gov/signs/bioethics/>). This site is replete with resources (>4500 references) on a broad range of relevant topics, including human subjects in research, medical and healthcare ethics, and the implications of genetics and biotechnology. This website also contains a broad set of annotated web links, including some attached to training programs. In addition, the University of Rochester has made available its training program for individual investigators. Their manual can be obtained through CenterWatch, Inc. (<http://www.centerwatch.com>)

To address longer-term needs, the NIH has two program announcements to support training on ethical issues related to research and human subjects. The first announcement provides support (T15) for institutions to conduct short-term courses in research ethics. (See <http://grants.nih.gov/grants/guide/pa-files/PA-99-051.html>) The primary objectives of the T15 program are to increase knowledge among investigators regarding research ethics and to protect human participants in clinical protocols. The second announcement supports career development of individuals who are committed to a career in research ethics. These individuals will be able to serve as resources in the institutions and as catalysts in discussions of critical ethical issues in research. (See <http://grants.nih.gov/grants/guide/pa-files/PA-99-050.html>).



The IRB at the University of Minnesota will assist researchers in meeting these Education and Training requirements.

To meet the new DHHS educational requirements we are developing a number of options. We recognize that the information needed by an investigator whose studies involve "minimal risk" are different from those of investigators whose studies require subjects to accept a higher degree

of risk. At a minimum, investigators and key personnel will be required to have an understanding of the basic principles of protecting human subjects and the procedures in place to ensure this protection. This requirement can be met in a number of ways. For instance, any one of these options will meet the requirement:

- Attendance at a Responsible Conduct of Research workshop offered in 1995 - 1998 either by AHC or OVPR
- Individuals may read materials that are currently available on our website. These materials are the Protecting Human Subjects Guide, which explains the regulatory basis and process of obtaining approval of a study, and the Informed Consent Tutorial, which explains the history and evolution of the protection through informed consent as well as the writing of a consent document.
- Attendance at a "Protecting Human Subjects" workshop which will be offered beginning in September. (Neither of the current RCR, part 1 or 2 includes this information).

Investigators and their key personnel whose studies involve more than "minimal risk" will need to supplement this basic level of knowledge with information relevant to their type of research. Again a number of options will be available, although each of them will include an opportunity for discussion or for questions to be answered. Additional materials and workshops are being developed to meet the need for an advanced level of knowledge within the context of the type of research conducted.

Since planning to meet these educational requirements has just begun, additional details are not available in time to be published here. Additional information will be posted on the website and be made available to investigators through e-mails and other announcements.

Descriptive information on each of the educational opportunities will be published on the website which investigators can use to describe "the education completed in the protection of human sub-

Patents Issued April 2000 – June 2000

1. **Title:** Live Vaccine Against Colibacillosis
Purpose: A vaccine for the immunization of domestic fowl, such as turkeys and chickens, against *E. coli* infections.
Inventors: Kakambi V. Nagaraja, Daryll A. Emery, Veterinary Pathobiology
 2. **Title:** Composition and Method for Inhibiting Plant Disease
Purpose: For biological control of plant diseases using suppressive avirulent strains of *Streptomyces* to control disease on a vegetable or other susceptible crop.
Inventors: Janet L. Schottel, Biochemistry; Daqun Liu, Linda L. Kinkel, Neil A. Anderson, Plant Pathology
 3. **Title:** Method of Producing a Vaccine for Swine Infertility and Respiratory Syndrome
Purpose: A vaccine and sera for treatment of Mystery Swine Disease.
Inventors: Danny W. Chladek, Louis L. Harris, David E. Gorcyca, non-U
 4. **Title:** Tissue-equivalent Rods Containing Aligned Collagen Fibrils and Schwann Cells
Purpose: Tissue-equivalent and biopolymer tubes and rods include fibrils oriented (aligned) by a magnetic field.
Inventors: Robert T. Tranquillo, Stefano Guido, Chemical Engineering and Materials Science
 5. **Title:** Method & Apparatus for Use with MR Imaging
Purpose: An apparatus and method for targeted drug delivery into a living patient using magnetic resonance (MR) imaging.
Inventors: John Kucharzyk, Radiology; Michael E. Moseley, non-U
 6. **Title:** Integrated Microchip Genetic Testing System
Purpose: A genetic testing system includes a miniaturized thermal cycling device and uses dipped or coated polymeric materials on processed silicon as a means to facilitate amplification chemistry.
Inventors: Leo T. Furcht, Ronald C. McGlennen, Laboratory Medicine and Pathology; Dennis L. Polla, Electrical and Computer Engineering
 7. **Title:** Method and Apparatus for Embedding Data, Including Watermarks, in Human Perceptible Sounds
Purpose: A technique for hiding of data.
Inventors: Ahmed H. Tewfik, Mitchell D. Swanson, Bin Zhu, Laurence M. Boney, Electrical and Computer Engineering
 8. **Title:** Insulin-like Growth Factor 1 Receptors (IGF-1R) Antisense Oligonucleotide Cells Composition
Purpose: A composition and method for inhibiting the growth and metastasis of breast tumors.
Inventors: Walter C. Low, Margaret A. Wallen-Friedman, Lan Chiang, Neurosurgery
 9. **Title:** Alumina Plate Method and Device for Controlling Temperature
Purpose: A thermal cycling device comprising a ceramic sample plate.
Inventor: Martin Blumenfeld, Genetics, Cell Biology, and Development
 10. **Title:** Multivalent in Ovo Avian Vaccine
Purpose: A multivalent poultry vaccine effective in preventing or treating an avian disease and which is safe and effective for immunizing poultry in ovo.
Inventor: Jagdev M. Sharma, Veterinary Pathobiology
 11. **Title:** Apple Tree Called 'Minnewashta'
Purpose: An apple tree with moderately vigorous growth, good hardiness with little winter injury, and annual fruit production, the fruit having a well-balanced flavor, crisp and juicy texture, and pleasing exterior color and pattern.
Inventors: James J. Luby, David S. Bedford, Horticultural Science
- Patents Issued Prior to 2nd Quarter 2000
but not Previously Reported**
12. **Title:** Maintaining Cells for an Extended Time by Entrapment in a Contracted Matrix
Purpose: Methods of maintaining animal cells for product production.
Inventors: Wei-Shou Hu, Matthew T. Scholz, Chemical Engineering and Materials Science; Frank B. Cerra, Scott L. Nyberg, Russell A. Shatford, Surgery
 13. **Title:** Pitch and Lignin Degradation with White Rot Fungi
Purpose: Relates to the use of certain fungi in the reduction of the pitch and/or lignin content of cellulosic materials, which saves electrical energy during the mechanical refining of pulps and pulpwoods used in making cellulosic products.
Inventors: Robert A. Blanchette, Chad J. Behrendt, Plant Pathology; Sara Iverson, non-U
- 14-18. **Title:** Annual Bluegrass MN42
Title: Annual Bluegrass MN117
Title: Annual Bluegrass MN184
Title: Annual Bluegrass MN208
Title: Annual Bluegrass MN234
Purpose: New cultivars have specific features for use as turfgrasses for golf turf.
Inventor: Donald B. White, Horticultural Science
19. **Title:** Protein Adsorption by Very Dense Porous Zirconium Oxide Particles in Expanded Beds
Purpose: Porous Zirconia particles can be synthesized using oil emulsion methods from colloids and used for protein adsorption in stable expanded beds.
Inventors: Michael C. Flickinger, Michael J. Robichaud, John E. Morris, BioProcess Technical Institute; Colleen M. Griffith, Michael J. Annen, Chemical Engineering and Materials Science; Peter W. Carr, Christopher J. Dunlap, Chemistry

20. **Title:** Biotherapy of Cancer by Targeting TP-3/P80
Purpose: Providing a method which utilizes cytotoxic biotherapeutic agents to systemically treat cancer patients.
Inventor: Fatih M. Uckun, Therapeutic Radiology; Peter M. Anderson, Pediatrics

Technology Transfer Agreements

April 2000 – June 2000

1. **Title:** Use of Opioid Antagonists to Treat Impulse-control Disorders
Purpose: To treat an individual afflicted with an impulse-control disorder by administering an amount of one or more opioid receptor antagonists.
Inventor: Suck Won Kim, Psychiatry
Licensee: Conral Pharma, Ltd.
 Exclusive License Agreement
2. **Title:** Method of Growing Rickettsiae in Ixodes Scapularis Tick Cell Culture and Preparing Antigens and Vaccines of Rickettsiae
Purpose: A cell culture method used in large scale production of rickettsia and containing products useful in diagnostic assays and vaccine preparations.
Inventors: Timothy J. Kurtti, Ulrike G. Munderloh, Entomology; Edmour F. Blouin, Sidney A. Ewing, Katherine M. Kocan, non-U
Licensee: Grand Laboratories, Inc.
 Exclusive License Agreement
3. **Title:** Soybean Line M91-464
Purpose: A maturity group 0 small seeded line with a size of approximately 8.1 grams per 100 seed.
Title: Soybean Line M91-468
Purpose: A maturity group 0 small seeded line with a size of approximately 9.0 grams per 100 seed.
Inventor: James H. Orf, Agronomy and Plant Genetics
Licensee: Sinner Bros. & Bresnahan
 Non-Exclusive Option Agreement
4. **Title:** Vaccination Against Avian Pneumovirus
Purpose: A strain of avian pneumovirus that can be used as a live attenuated vaccine, and also a killed vaccine that may protect against all U.S. strains of avian pneumovirus.
Inventor: Sagar M. Goyal, Veterinary Diagnostic Medicine
Licensee: Biomune
 Exclusive Option Agreement
5. **Title:** Development of a High Fat Diet for Equine Athletes
Purpose: To use changes in diet to reduce abdominal pain (colic), inflammation of hooves (laminitis) and severe muscle cramping (tying up) in horses.
Inventors: Jennifer M. MacLeay, Stephanie J. Valberg, Clinical and Population Sciences; Joseph Pagan, non-U
Licensee: Kentucky Equine Research
 Exclusive License Agreement
- 6-7. **Title:** Infrared Spectrometer for the Measurement of Isotopic Ratios
Purpose: An infrared spectrometer for determining isotopic ratios of gaseous compounds, used to detect isotopic ratios of carbon dioxide indicating metabolic activity of infection.
Inventors: Robert M. Carlson, Viktor Slobodyan, Chemistry; Christopher J. Owen, Anatoly Skirda, Alexander Tokhtuev, Eugene G. Tokhtuev, Natural Resources Research Institute, all in Duluth
Licensee: Apprise Technologies, Inc.
 Exclusive License Rights Research Agreement
Licensee: SOTA TEC Fund
 Exclusive License Rights Research Agreement
- 8-9. **Title:** Apple Tree: Honeycrisp
Purpose: An apple tree with moderately vigorous growth, a crisp and juicy fruit texture, an extended season of harvest, and good hardiness with little winter injury.
Inventors: David S. Bedford, James J. Luby, Horticultural Science
Licensee: All About Apples
 Non-Exclusive Plant License Agreement
Licensee: L.E. Cooke Co.
 Non-Exclusive Plant License Agreement
10. **Title:** Three-dimensional Integrated Circuit
Title: Monocrystalline Three-dimensional Integrated Circuit
Purpose: A single-crystal monolith containing a 3-D doping pattern forming varied devices and circuits that are junction-isolated.
Inventors: Ronald D. Schrimpf, Alfons A. Tuszynski, Raymond M. Warner, Jr., Electrical and Computer Engineering
Licensee: SemiCube, Inc.
 Exclusive License Agreement
- 11-12. **Title:** Soybean Line M91-467
Purpose: A maturity group 0 small seeded line with a size of approximately 8.8 grams per 100 seed.
Title: Soybean Line M92-1003
Purpose: A maturity group 0 small seeded line with a size of approximately 8.8 grams per 100 seed.
Inventor: James H. Orf, Agronomy and Plant Genetics
Licensee: Blue Horizon, Inc.
 Exclusive License Agreement

13. **Title:** Device and Method for Image-guided Cell Therapy
Purpose: Implantable miniature osmotic pumps used to provide a continuous supply of drugs or other active biologic factors to the brain and other tissues at a controlled rate.
Inventors: John Kucharczyk, Radiology; William Broaddus, Helen L. Fillmore, George T. Gillies, non-U
Licensee: Cytogenesis, Inc.
 Exclusive License Agreement
14. **Title:** Leukolysin/MMP25/MT6-MMP
Purpose: Compounds for treating arthritic conditions and methods for administering such compounds in animals.
Inventor: Duanqing Pei, Pharmacology
Licensee: Bristol-Myers Squibb Pharm. Research Institute
 Non-Exclusive License Agreement
15. **Title:** METIS (Software)
Purpose: Software package for partitioning unstructured graphs and for computing fill-reducing orderings of sparse matrices.
Inventors: George Karypis, Vipin Kumar, Computer Science and Engineering
Licensee: NEC Systems, Inc.
 Non-Exclusive Software License Agreement
16. **Title:** Modified Vitamin K-dependent Polypeptides
Purpose: Vitamin k-dependent polypeptides with enhanced membrane binding affinity used to modulate clot formation in mammals.
Inventor: Gary L. Nelsestuen, Biochemistry, Molecular Biology, and Biophysics
Licensee: Eli Lilly and Company
 Exclusive License Agreement
17. **Title:** Illinois Bundleflower (Desmanthus Illinoensis) Ecotype Number 1
Title: Illinois Bundleflower (Desmanthus Illinoensis) Ecotype Number 5
Title: Illinois Bundleflower (Desmanthus Illinoensis) Ecotype Number 8
Title: Illinois Bundleflower (Desmanthus Illinoensis) Ecotype Number 9
Title: Illinois Bundleflower (Desmanthus Illinoensis) Ecotype Number 10
Purpose: A native perennial legume with characteristics measured in the second year at three locations.
Inventors: Lee R. DeHaan, Robert L. DeHaan, Nancy Jo Ehlike, Craig C. Sheaffer, Donald L. Wyse, Agronomy and Plant Genetics
Licensee: Geneva Lake Farms, Inc.
 Non-Exclusive License Agreement
- 18-19. **Title:** Novel Attachment Chemistry for Silicon
Title: Novel Attachment Chemistry for Silicon
Purpose: A simple chemical approach for the covalent assembly of organic molecules on silicon surfaces via robust linkages.
Inventors: Xiaoyang Y. Zhu, Chemistry; Hongjun Yang, non-U
Licensee: Gene Logic, Inc.
 Exclusive License Agreement (License-in)
20. **Title:** Soybean Line M91-464
Purpose: A maturity group 0 small seeded line with a size of approximately 8.1 grams per 100 seed.
Title: Soybean Line M91-147011
Purpose: A maturity group I small seeded line with a size of approximately 9.0 grams per 100 seed.
Inventor: James H. Orf, Agronomy and Plant Genetics
Licensee: J.G. Limited, Inc.
 Non-Exclusive License Agreement
21. **Title:** Monoclonal Antibodies Reactive with Native and Denatured Cytochrome C from Various Species
Purpose: B cell hybridomas secreting monoclonal antibodies specific for various forms of cytochrome c.
Inventor: Ronald R. Jemmerson, Microbiology
Licensee: MedSystems Diagnostics GmbH
 Non-Exclusive License Agreement
22. **Title:** "Elder Health/Pra"
Purpose: To define a set of screening criteria that identifies elders who are at high risk for repeated hospital admission in the future.
Inventor: Charles E. Boulton, Family Practice and Community Health
Licensee: TriZetto Group, Inc.
 Non-Exclusive Copyright License Agreement
23. **Title:** PigCHAMP
Purpose: A Swine-herd management software program that analyzes performance by recording information on breeding success, mortality, and growth rates.
Inventors: William E. Marsh, Roger Morris, Gerard Nimis, Thomas E. Stein, Norman Williamson, Clinical and Population Sciences
Licensee: PigCHAMP, Inc.
 Exclusive Software License Agreement

IRB; New Initiatives*(continued from page 9)*

jects for each individual identified as key personnel" and for themselves as required by NIH grant applications.

Future issues of the *Research Review* will cover the other initiatives announced by Secretary Shalala. Questions concerning the IRB or Institutional Animal Care and Use Committee can be addressed to Moira Keane 612-626-5654 or irb@umn.edu or iacuc@umn.edu.

More Information

To generate copies of NIH and NSF application forms, please go to EGMS at <http://nirvana.ospa.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>, or to NSF at <http://www.nsf.gov/pubs/2000/nsf002/start.htm> (For help, call the EGMS help line at 612.624.1600.)

For funding searches

Please contact the Office of the Vice President for Research 612.625.7585; facgrant@gold.tc.umn.edu <http://www.research.umn.edu/research.html>.

Alfred P. Sloan Foundation

* Archival Program

To preserve and make available to scholars complete collections of the papers, letters, and notes of Charles Darwin, Thomas Edison, and Kurt Godel. Work continues on volumes 11-14 of, "The Correspondence of Charles Darwin," as well as on making the entire collection available electronically. The fourth volume of the Edison papers was published and work is underway on volume five and on the electronic edition. A final volume of collected work of Kurt Godel is in preparation.

There is **no deadline**. Foundation trustees meet four times a year. Letters of inquiry are the recommended initial step. Go to <http://www.sloan.org/science/history.html>.

* The Known, Unknown, and Unknowable

To explore what is known, unknown, and unknowable in a variety of fields. Grants have supported such studies in plant molecular biology and genetics, ecology, computational economics, history of science, and prehistoric linguistics.

There is **no deadline**. Foundation trustees meet four times a year. Letters of inquiry are the recommended initial step. Go to http://www.sloan.org/programs/scitech_supresearch.htm.

* Census of Marine Life

To explore whether the foundation might organize a major new international observational program to assess and explain the abundance and distribution of marine

life. The foundation will continue small-scale grants related to this census.

There is **no deadline**. Foundation trustees meet four times a year. Letters of inquiry are the recommended initial step. Go to http://www.sloan.org/programs/scitech_supresearch.htm.

* Globalization

To provide a fact-based picture of globalization, primarily within specific industries. Grants have been made to study company location decisions and effects of these decisions on jobs, wages, and the company's competitive position in a number of industries: computer flat display, auto, computer disk file, semiconductor manufacturing, personal computer, and computer software. International collaboration is encouraged.

There is **no deadline**. Foundation trustees meet four times a year. Letters of inquiry are the recommended initial step. Go to http://www.sloan.org/programs/stndrd_global.htm.

Voice Foundation

* Research Projects

Research projects directed to all aspects of the voice, such as the investigation of physiology, biochemistry, genetics, as well as anatomy, pathology, psychology, and neurolaryngology.

There is **no deadline**. Potential applicants are instructed to make a telephone inquiry to the foundation before submitting an application. Call 215.735.7999.

Carnegie Corporation

* Nonproliferation of Weapons of Mass Destruction

To support work to ensure further reductions in weapons of mass destruction, the security of their storage, and the safety of their command and control systems. It will also support efforts aimed at integrating China into a wider arms control regime and award grants to heighten the awareness of policymakers on a range of arms control challenges in South and East Asia.

Grants are made primarily to institutions; no curriculum projects within individual schools or colleges are supported. Proposals for media-related grants are only occasionally supported.

There is **no deadline**. Go to <http://www.carnegie.org/sub/program/education.html>.

Aspen Institute

* Model Applied Research Initiative

To broaden the base of scholars and practitioners undertaking research on the nonprofit sector. Doctoral dissertation support is also offered.

The application deadline is **October 2, 2000**. Go to http://www.nonprofitresearch.org/newsletter1525/newsletter_show.htm?doc_id=308.

Weeden Foundation

* Grants

The protection of biodiversity is the main priority; population growth, particularly in the U.S., and overconsumption are also addressed. Particular interests are in new efforts that help develop sustainable models for conservation action and that act as catalysts inducing others to lend support.

The application deadline is **September 5, 2000**. Go to <http://www.weedenfdn.org/wfguides.html>.

Target Stores

* Support for the Arts

To strengthen and enrich the lives of families by providing financial support for quality arts programming and prevention-oriented social action programs, i.e., art exhibits, classes, performances, and also arts-in-education programs that are accessible to family audiences.

Apply before **November 1, 2000**. Go to <http://target.com/company/community/guidelines.asp>.

Department of Defense

Air Force

* Physical Mathematics and Applied Analysis.

Pursues mathematical models and their analysis in areas of interest to the Air Force.

The deadline is **continuous**. Go to <http://fundingopps2.cos.com/cgi-bin/getRec?id=9512>.

Navy

* Computer Aided Software Engineering

Research is required to develop new tools or integrate existing tools for large software developments.

The deadline is **December 31, 2000**. Go to <http://fundingopps2.cos.com/cgi-bin/getRec?id=44081>.

* Torpedo Defense, Modeling and Simulation

Research proposals for new and innovative research and development solutions in the area of torpedo defense.

The application deadline is **May 30, 2001**. Go to <http://fundingopps2.cos.com/cgi-bin/getRec?id=20158>.

* Countermeasures Technology

Research proposals for new and innovative research and development solutions in the area of countermeasures technology.

The application deadline is **May 30, 2001**. Go to <http://fundingopps2.cos.com/cgi-bin/getRec?id=20159>.

* Simulator Sickness

Study of psycho-physiological disturbances, visual illusions, and sickness of trainees following the use of some simulators.

The application deadline is **December 31, 2000**. Go to <http://fundingopps2.cos.com/cgi-bin/getRec?id=44044>.

* Tactical Decision-Making Under Stress

To apply recent developments in decision theory, individual and team training, and information display for tactical decision quality under stressful conditions.

The application deadline is **December 31, 2000**. Go to <http://fundingopps2.cos.com/cgi-bin/getRec?id=44050>.

* Virtual Environment Technology

Offering the potential for lowering the cost of training, decreasing the cost of training systems, increasing the opportunities for training, and increasing the efficiency of training.

The application deadline is **December 31, 2000**. Go to <http://fundingopps2.cos.com/cgi-bin/getRec?id=44051>.

National Science Foundation

* Public Service Award

The National Science Board invites nominations for the 2001 Public Service Award. The award is presented annually to recognize people and organizations who have increased public understanding of science or engineering. The award may be given to an individual and to a group (company, corporation, or organization).

The deadline for nominations is **September 22, 2000**. Go to <http://www.nsf.gov/nsb>.

American Association for Cancer Research

* Fellowships

Awards 7 to 10 research fellowships in basic, clinical, translational, and prevention research to clinical and postdoctoral fellows. Applicants must receive a strong nomination from a member of the AACR.

The application deadline is **December 15, 2000**. To to <http://www.aacr.org>.

* Elion Cancer Research Award

A general one-year research award to an assistant professor working in any area of cancer research at an academic or not-for-profit research institute.

The application deadline is **December 15, 2000**. To to <http://www.aacr.org>.

* Career Development Awards

Two-year awards intended for junior faculty in the first or second year of a full-time, tenure-track appointment.

The application deadline is **December 15, 2000**. To to <http://www.aacr.org>.

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Indirect cost and other rate development	Steve Bradley	626.9895 bradl011@tc.umn.edu
Effort help line	612.625.7824	effort@tc.umn.edu
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Interim MIS coordinator; <i>Levels & Trends</i> , proposal & award data	Mary Bendtsen	624.0583 mbendtse@tc.umn.edu
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Sr. grant and contract administrator	Jim Loukes	218.726.7583 jloukes@ub.d.umn.edu
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Morris, Grants Development , http://www.mrs.umn.edu/services/grants		
Director	Tom Mahoney ..	320.589.6462 mahoneyt@mrs.umn.edu
related numbers		
Sponsored Financial Reporting , fax: 612.626.0321; web: http://www.sfr.umn.edu		
Manager	Joan Donaldson	624.6026 j-dona@tc.umn.edu
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Supervisor, NSF, other federal grants and contracts	Susan Harris	624.7850 harri140@tc.umn.edu

Instructions on Changing Addresses

SPA cannot change the faculty mailing list. It is a list we *buy* monthly.

(Faculty mailing labels are those with a string of seven numbers printed above the addressee's name.)

This list is generated by Human Resources and changed in your department.

For faculty-list changes, please call your departmental payroll or Human Resources coordinator.

For changes regarding *other* labels (no numbers above the name), please complete the following:

Change Name: _____

Add Department: _____

Delete Building & Room No.: _____

Mail Delivery Code (if on campus): _____

City, State, Zip (if off campus): _____



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Research Review



Sponsored Projects Administration
 Patents and Technology Marketing
 Oversight Analysis and Reporting

September 2000

Volume XXX, Number 3
<http://www.ospa.umn.edu/resrev.htm>

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Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of the month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, erick210@tc.umn.edu.

EGMS Coming Attractions

Upgrade Will Support Delivery of EGMS Proposals to NSF's FastLane

If you like using EGMS to prepare proposals and you have a submission to the National Science Foundation (NSF) planned for the near future, life is about to get a little easier. As NSF moves toward requiring electronic submission of all proposals *via* its Internet-based FastLane process, the EGMS development team is upgrading the software to allow proposal information prepared in EGMS to be fed to FastLane.

This article provides an overview of the EGMS interface with FastLane. Detailed instructions for EGMS preparation of a complete NSF proposal for submission to FastLane will be posted on the EGMS web site when the software upgrade is completed.

A little history

Over time, NSF has been implementing FastLane gradually, requiring FastLane proposal preparation and submission for more and more of its individual programs. During this phase-in period, many Principal Investigators (PIs) at the University have submitted partial or full proposals to NSF using FastLane. For proposals submitted on or after October 1, 2000, NSF requires all applications to be submitted using FastLane.

Up to this time, faculty and staff who routinely use EGMS for proposal preparation have been unable to use EGMS to prepare and submit proposals that were required to be sent to NSF *via* FastLane. If a PI wanted to use EGMS to automatically calculate budget items across project years, the budget detail would have to be re-keyed into the FastLane interface. To eliminate such duplication, the EGMS NSF proposal option is being upgraded to support delivery of EGMS proposal data to FastLane.

What functionality does the EGMS upgrade add?

Specifically, the EGMS upgrade will allow:

- the project description to be uploaded to an EGMS proposal; and
- the combined EGMS data (budget detail and biosketches, for example) and project description to be sent to FastLane, in a process invisible to the preparer.

The first phase of the EGMS upgrade will support the upload of a single Adobe Acrobat portable document format (PDF) file, the project description, to an EGMS proposal. During this first phase, when only the project description can be uploaded, you **must** prepare the entire proposal in EGMS for it to be transmitted to NSF *via* the EGMS-FastLane interface.

With the initial upgrade, **you cannot use EGMS** for FastLane submission of proposals requiring inclusion of multiple documents prepared outside of EGMS (for example Budget Only proposals, proposals requiring biosketches for non-University personnel, or proposals where letters of support must be included). After the initial upgrade is in place, the EGMS team will begin a second phase of development, working to add the ability to upload multiple PDF files.

{continued on page 4}

RESEARCH REVIEW

Volume XXX, Number 3

September 2000

Editor: Bruce Erickson
 Editorial Assistant: Tove Jespersen
 Associate Vice President: Ed Wink

Research Review is a monthly publication of the Office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 450 Gateway Building, 200 Oak Street SE, Minneapolis, MN 55455-2070, or call Bruce Erickson, 612.625.2354, erick210@tc.umn.edu, or Tove Jespersen 612.624.0061, tove@tc.umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New rates effective July 2000

TA, RA, AF: standard of gross salary	\$5.28/hr	+	9.8%
TA, RA, AF: advanced master's or Ph.D.	\$.88/hr	+	9.8%
Summer session semester TA, RA, AF	—		9.8%
Summer session TA, with tuition	\$12.51/hr	+	9.8%
Summer session TA, without tuition	—		9.8%
Professional program assistant	—		9.8%
Dental fellow *	\$3.72/hr		—
Medical fellow *	\$2.64/hr		—

To the rates listed above, add 7.7% to the 9.8% when a graduate student is enrolled for fewer than 3 credits, or less than 1 credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. This is a change from previous years.

Other Job Classes

	Civil Service	Academic	Post-doc class #9546	Graduate Assistant
7/1/99 - 6/30/00	24.4%	27.6%	14.2%	15.3%
7/1/00 - 6/30/01	27.7%	27.5%	15.4%	17.5%
7/1/01 - 6/30/02	30.3%	31.1%	tba	21.1%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009.

Complete details of fringe benefit rates for all classes of UM employees are available at http://process.umn.edu/groups/ppd/documents/rates/fringe2000_01.cfm.

Rate changes will be reflected in this section.

Facilities & Administrative (F&A) (Indirect Cost) Rates

The rates listed at right come from the University's most recent F&A/indirect cost agreement, dated **December 16, 1999**. This date should be used where required on applications.

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration at 612.624.5599. If you have questions on F&A/indirect cost rate development, please call Steve Bradley, 612.626.9895.

* A project is considered off-campus if more than 50 percent of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University.

Research (MTDC base)

On-campus	48.00%	FY 2000
	48.50%	FY 2001-03
Off-campus*	26.00%	FY 2000-03
SAFL on-campus	59.00%	FY 2000-03
SAFL off-campus*	26.00%	FY 2000-03
Hormel on-campus	50.00%	FY 2000-03
Hormel off-campus*	26.00%	FY 2000-03

Other Sponsored Activity (MTDC base)

On-campus	32.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

Instruction (MTDC base)

On-campus	52.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

MTDC (Modified Total Direct Cost):

Total direct cost minus:

- graduate student fringe benefits
- equipment
- capital expenditures, e.g., new building construction
- charges for patient care
- tuition remission
- rental costs of off-site facilities
- scholarships and fellowships
- the portion of each subgrant and sub-contract in excess of \$25,000 per project period

For more information on equipment and subgrants and subcontracts in excess of \$25,000, see the April 1999 *Research Review*, or go to <http://www.ospa.umn.edu/resrev.htm>.

Carryforward Letters No Longer Required for Expanded Authority Awards

Effective September 15, Sponsored Projects Administration (SPA) no longer requires principal investigators to write letters requesting carryforward of significant balances on awards covered under expanded authorities. This change primarily affects National Institutes of Health (NIH) projects, but is effective for all projects with federal sponsors that incorporate expanded authorities. The NIH definition of significant balance for carryforward is over \$250,000 or 25 percent of the budget period award (including the previous year's carryforward).

Many federal sponsors allow carryforward balances to be automatically carried over

to the next budget period. Those agencies that want information regarding significant balances require principal investigators to provide it in their continuation proposals. Under the new procedures, SPA will notify principal investigators who do not report carryforward balances as required by the agency. In these cases, SPA will request that the principal investigator send SPA a letter to document the carryforward balance. SPA will work with the Office of Oversight Analysis, and Reporting to insure compliance with these requests.

As a reminder for NIH projects with expanded authorities, any carryforward requests for budget periods ending on or

before January 21, 2000 still needs NIH approval.

SPA made this change as part of a larger effort to review processes related to expanded authorities and revise them to conform to best business practices. Last month, SPA made changes to its preaward policy, and changes will be made in the future regarding rebudgeting and equipment requests.



F&A Rates

For Local Foundations and Local Chapters of Voluntary Health Associations

There have been misunderstandings and inconsistent treatment regarding charging facilities and administrative (F&A or indirect) costs on projects sponsored by local foundations and local chapters of voluntary health associations. In order to clarify the University's policy, the Vice President for Research reaffirms that the University will use the sponsor's published rate. If the sponsor does not have a published rate or policy, and if the foundation is incorporated in the state of Minnesota, the University usually decides not to charge F&A costs.

It is best for principal investigators to check with the grant administrator in Sponsored Projects Administration for historical precedent regarding collection of these type of funds. If the foundation is not incorporated in Minnesota, principal investigators must use the University's standard rate for the type of proposal (for example, 48.5% if it is on-campus research). As a reminder, if the principal investigator would like to request a waiver or variance from this policy, the University does have a procedure for obtaining an F&A / indirect cost waiver.

The Academic Health Center, Office of Regulatory Affairs,
and the
Association of Clinical Research Professionals

are sponsoring

Clean Data: The Mark of Excellence

Thursday, September 21, 2000

11:45 – 1:00, Room 2-571 Moos Tower

Brown Bag Lunch; Refreshments will be provided

Speaker: Bryce Bartruff, RN, CCRA, Ph.D.

Participants will:

- Identify basic principles for gaining an overall understanding of the relationship between the protocol, the data captured on the Case Report Form (CRF), and what is expected from the sponsor and data personnel
- Describe the primary steps necessary to insure that data captured on the CRFs will not generate unnecessary queries
- Analyze practical tools for capturing and recording clean data

To register, please contact
Meg Becker at 612.624.2431
ora@tc.umn.edu

CEUs will be available

EGMS Upgrade

(continued from page 1)

Who do I contact if I'm preparing an NSF proposal in the near future?

This is a transition period for both the EGMS-FastLane interface and the implementation of the NSF FastLane requirement. Accordingly, we recommend that you contact your SPA grant administrator as soon as you begin planning for a proposal submission to NSF on or after October 1, 2000. Your grant administrator can guide you through the NSF application process, answering questions about PIN numbers, passwords, and the kinds of proposals you can submit using EGMS or the FastLane proposal preparation module, for example.

To find contact information for NSF's grant administrators in SPA, use the NSF staff list (organized by assigned departments or units) at <http://www.ospa.umn.edu/spa/nsf&um.htm>.

If you have problems using EGMS to complete a proposal, contact the EGMS technical helpline (612.624.1600), business helpline (612.624.1033), or your grant administrator.

Is EGMS required for sending a proposal to FastLane?

No, not at this time. The EGMS upgrade merely provides a new feature for sending EGMS proposal data electronically to FastLane that users may choose if it meets their needs.

How will I be able to use EGMS with FastLane?

The process of using the initial EGMS upgrade to send a proposal to FastLane involves entry of proposal data in EGMS, upload to EGMS of the project description as a PDF file, and electronic submission (by SPA grant administrators) of this bundled information from EGMS directly to FastLane.

After the EGMS upgrade, to prepare a complete proposal in EGMS for FastLane submission:

1. Enter information into the EGMS data-entry fields (proposal settings, personnel, and budget detail, for example).
2. Prepare the project description outside of EGMS.
3. Convert the project description to a PDF file.
4. In EGMS, browse your hard drive and choose the project description PDF file to include with the EGMS proposal data.
5. Contact your NSF grant administrator at SPA to request review of the EGMS proposal data and the project description.
6. When the review is complete, deliver a single hard copy of the proposal (including an original signed certification page) and the associated proposal routing form (PRF) to SPA.

Effective October 1, 2000, EGMS has the ability to load basic NSF proposals to FastLane. Check with your grant administrator to see if EGMS will work for you.

What do I need in order to use EGMS with FastLane?

Before you can use EGMS to prepare a proposal for submission to NSF using FastLane, you need:

- your professional data stored in the EGMS supporting databases, the Expertise Database and Other Support Database, so that you will be able to complete your biosketch and Current and Pending Support page in EGMS. In addition, ascertain that any other University personnel to be included as key personnel on the proposal also have their personal data stored in the EGMS supporting databases.
- the appropriate software to convert your electronic version of the project description to a PDF file. You can use:
 - ← Adobe Acrobat software, which includes the required Adobe Distiller utility (available for purchase from the University bookstore for less than \$100);
 - ← Aladdin Ghostscript 6.0 or higher, a free utility for converting PostScript files to PDF (available at <http://www.cs.wisc.edu/~ghost/aladdin/>).

While all operating systems are compatible with the PDF conversion process, some University investigators have reported some difficulty using Unix computers to convert documents that contain complex technical notations.

If you will be using the new NSF FastLane option in EGMS, we encourage you to address these two prerequisites now as part of your preparation for the EGMS software upgrade.

When will the EGMS upgrade be available for use?

The initial EGMS upgrade, which supports upload of the project description and a method of feeding proposal data to FastLane, will be available October 1, 2000. We recommend that if you have an NSF proposal you will submit on or after October 1 and are not familiar with EGMS, you use the FastLane proposal preparation and submission process available on the NSF's FastLane site (<http://www.fastlane.nsf.gov>).

Additional resources

For more information, see the NSF articles and the list of FastLane resources on page five of this issue.

National Science Foundation

New Requirements for Proposal Submission Beginning October 1, 2000

Effective October 1, 2000, *all* proposals to NSF must be submitted electronically via the NSF FastLane system. For proposers who cannot submit electronically, NSF must approve a deviation in advance of submission of the paper proposal in accordance with GPG Chapter II, Section A. In addition to proposal preparation and submission, the FastLane system should be used for status checking, project reporting, and post-award administrative activities. All FastLane functions are accessed by using a web browser on the Internet. Detailed information about the FastLane system is available from the FastLane website at <http://www.fastlane.nsf.gov>. **For information on using EGMS to submit NSF proposals using FastLane, see the EGMS article on page one.**

Upon receipt of the proposal by NSF, proposals are generally converted to hard copy for distribution to the reviewer community. The rationale for this step is that the wide variance of equipment available to reviewers may not, at this time, assure that an all-electronic review process would be successful or totally fair to proposers. In the near future, NSF envisions that it will be possible to avoid this printing step and send proposals out for review solely by electronic means.

Submission Instructions

A proposal needs to be submitted only once to NSF, even if the proposer envisions review by multiple programs. The submission of duplicate or substantially similar proposals concurrently for review by more than one program without prior NSF approval may result in the return of the redundant proposals. (See Chapter IV, Section B for further information on proposal return). Unless stated otherwise in a proposal-generating document, proposals should not be addressed or sent directly to the cognizant program officer.

Special Instructions for Color Representations

For cost and technical reasons, NSF cannot reproduce proposals containing color. Therefore, PIs generally should not rely on colorized objects to make their arguments. PIs who must include in their project descriptions very high resolution graphics, or other graphics where exact color representations are required for proper interpretation by the reviewer, must submit the required number of copies of the entire paper proposal (including the signed paper copy of the proposal cover sheet) for use in the review process. This submission is in addition to, not in lieu of, the electronic submission of the proposal via FastLane.

Upon submission of the proposal, the proposing organization will be notified of the required number of paper copies of the proposal that must be submitted to NSF. The exact number of copies required will appear in an electronic message at the time of FastLane submission and will depend on the NSF division selected. Such proposals must be postmarked (or provide a legible proof of mailing date assigned by the carrier) within five working days following the electronic submission of the proposal. Unless the proposal contains very high resolution graphics or other graphics where exact color representations are critical to the review of the proposal, proposers should not send paper copies.

NSF FastLane Resources

SPA Grant Administrators for NSF

<http://www.ospa.umn.edu/spa/nsf&um.htm>

NSF FastLane Web Site

<http://www.fastlane.nsf.gov>

NSF Grant Proposal Guide

<http://www.nsf.gov/pubs/2001/nsf012/start.html>

EGMS Helplines

Technical 612.624.1600

Business 612.624.1033

E-mail egms@boombox.micro.umn.edu

Download site for Aladdin Ghostscript

<http://www.cs.wisc.edu/~ghost/aladdin/>

NSF Grant Proposal Guide (NSF 01-2)

The NSF proposal guide for the new fiscal year beginning October 1, 2000 is now available at <http://www.nsf.gov/pubs/2001/nsf012/start.html>.

*These articles are excerpts
from the National Science
Foundation Proposal
Guide 01-2.*

Institutional Review Board Required Education In the Protection of Human Research Participants

In the August issue, we described the new NIH requirement for education in the protection of human subjects that will be effective on October 1, 2000. One of the ways to satisfy this requirement is attendance at a "Protecting Human Subjects" workshop. The first offering of this workshop will be on September 26, 8 - 10 a.m., in the BSBE Building, room 2101.

To register, e-mail RCR@umn.edu and provide your name, department and e-mail address. There will be additional offerings, approximately one each month.

However, the minimum requirements may be met in other ways. If you attended a Responsible Conduct of Research workshop offered in 1995 - 1998, either by the Academic Health Center, or by the Office of the Vice President for Research, you have met the minimum requirement.

Update Roles and Responsibilities

The Roles and Responsibilities web site has been updated. Existing web pages have been updated to include new policies and responsibilities. New pages have also been added, for example, pages for certified approvers, co-principal investigators, and graduate students.

Comments about the information may be sent to the e-mail address at the bottom of each page. The web site is <http://www.research.umn.edu/spp/roles.asp>.

Certified Approver Examination Schedule

on the web at <http://www.oar.umn.edu/CA/schedule.htm>

September 2000 - December 2000

Pre-registration Required

Please call 612.625.9057 with questions about the Certified Approver Program

Locations are subject to change

<u>Date</u>	<u>Day</u>	<u>Part</u>	<u>Start</u>	<u>Location</u>
September				
11	Monday	1	8:30, 10:15, 1:00	9 Eddy Hall
18	Monday	2	9:15, 1:00	9 Eddy Hall
20	Wednesday	1	8:30, 10:15, 1:00	9B Eddy Hall
25	Monday	2	9:15, 1:00	9 Eddy Hall
October				
10	Tuesday	2	8:00 a.m. only	9 Eddy Hall
16	Monday	1	8:30, 10:15, 1:00	140 Nolte
24	Tuesday	2	8:00 a.m. only	9 Eddy Hall
November				
7	Tuesday	2	8:00 a.m. only	9 Eddy Hall
13	Monday	1	8:30, 10:15, 1:00	140 Nolte
21	Tuesday	2	8:00 a.m. only	9 Eddy Hall
December				
5	Tuesday	2	8:00 a.m. only	9 Eddy Hall
13	Wednesday	1	8:30, 10:15, 1:00	140 Nolte
19	Tuesday	2	8:00 a.m. only	9 Eddy Hall

What's New in Grants Management

An index to Changes and Announcements

September 2000

(month 3 of UM fiscal 2001)

SPA Update 0102: Revised procedure on *Certifying Effort Statements* (Procedure 2.1.1.2)

Issued: August 2000
 Supercedes: June 1999 procedure
 Effective: August 2000
 Change: Section 4, Make Any Adjustments, has been revised to provide information on who can make changes to effort statements and how these changes are to be documented.
 Action to take: See the procedure at: http://www.fpd.finop.umn.edu/groups/ppd/documents/procedure/Certifying_Statements.cfm

SPA Update 0103: Revised policy and procedures on *Charging Direct and Facilities and Administrative / Indirect Costs* (Policy 2.1.3)

Issued: August 2000
 Supercedes: August 1996 policy and procedures
 Effective: September 1, 2000
 Change: The policy and procedures have been revised.
 Action to take: See the policy at: <http://www.fpd.finop.umn.edu/groups/ppd/documents/policy/Cost.cfm>

SPA Update 0104: Incorporation of policy on *Requesting Facilities and Administrative (Indirect) Cost Waivers* (Policy 2.1.8) into policy on direct and F&A / indirect charging (Policy 2.1.3)

Issued: August 2000
 Supercedes: December 1999 policy and procedure
 Effective: September 1, 2000
 Change: The policy and procedure for requesting facilities and administrative (indirect) cost waivers have been incorporated into the revised policy on charging direct and F&A / indirect costs. The former policy is now procedure 2.1.3.2, *Charging Facilities and Administrative / Indirect Costs to Sponsored Projects*. The former procedure is now procedure 2.1.3.3, *Obtaining Facilities and Administrative / Indirect Cost Waivers*.
 Action to take: See the charging costs policy at: <http://www.fpd.finop.umn.edu/groups/ppd/documents/policy/Cost.cfm>

Reminder

Responsible Conduct of Research seminars are currently scheduled through December, 2000. (<http://www.research.umn.edu/training/>). The education program is continuing to be developed. Once it is fully implemented, principal investigators must attend these seminars in order to continue to be eligible to serve as principal investigators on sponsored projects. See the PI eligibility policy at <http://www1.umn.edu/regents/policies/academic/PrincipalInvestigator.pdf>.

Note that investigators without this training will be able to submit proposals. However, they must attend the education sessions before any award funds will be released.

Staff Updates

Sponsored Projects Administration

This past summer two new grants assistants have been added to the Sponsored Projects Administration (SPA) staff. They are Kathleen Doy, working for Mary Lou Weiss, and Barbara Bowman, working for Kevin McKoskey. Neither has been assigned a particular area of responsibility, but will help as needed.

Patents and Technology Marketing

Duane Oyen has been hired as the new coordinator for the SOTA TEC Fund. He may be reached at 612.625.8826, doyen@tc.umn.edu.

The new licensing assistant in the Health Technologies area is Imma Berrera. She may be reached at 612.626.7283, her e-mail address has not yet been established.

Top 20 Institutions in Federal Research and Development Expenditures

1997 and 1998

<u>1998 rank</u>	<u>1998</u>	<u>1997</u>
1. Johns Hopkins	\$ 752,983,000	\$ 724,526,000
2. Stanford	342,426,000	332,272,000
3. University of Washington	336,748,000	320,784,000
4. University of Michigan	311,450,000	296,028,000
5. Massachusetts Institute of Technology	310,741,000	311,396,000
6. University of California, San Diego	262,303,000	274,860,000
7. Harvard	251,876,000	222,612,000
8. University of Pennsylvania	247,914,000	217,125,000
9. University of Wisconsin, Madison	240,513,000	233,760,000
10. University of California, Los Angeles	233,702,000	238,919,000
11. Columbia	229,723,000	212,180,000
12. University of Colorado	228,342,000	192,201,000
13. University of California, San Francisco	219,912,000	229,323,000
14. Yale	205,046,000	189,124,000
15. University of Minnesota	204,741,000	200,149,000
16. Cornell	204,187,000	205,521,000
17. University of Southern California	190,547,000	191,809,000
18. Washington University	187,173,000	186,993,000
19. Pennsylvania State	186,274,000	185,206,000
20. California Institute of Technology	177,748,000	164,225,000

Source: National Science Foundation

Sponsored Projects Administration

New Brochure

Sponsored Projects Administration (SPA) prepared a brochure to hand out at the Minnesota State Fair and other events. The brochure contains a greeting from Christine Maziar, Vice President for Research and Dean of the Graduate School, statistical information on sponsored project activity for fiscal year 1999, and a brief description of four technologies developed at the University.

If you'd like to receive a copy, contact Tove Jespersen at 612.624.0061 (tove@tc.umn.edu).

Patents and Licensing Activity

	<u>FY96</u>	<u>FY00</u>	<u>Five-Year %Change</u>
Disclosures	159	216	35%
New U.S. Patent Applicants Filed	47	53	13%
U.S. Patents Issued	25	59	136%
Licenses (new)	42	75	79%
Start-ups Licenses	5	10	100%
Total active licenses	260	439	69%
Gross Royalties and Fees	\$6.4	* \$23.1	* 259%
Patent Cost Reimbursement	\$0.8	\$1.3	70%

Source: Office of Patents & Technology Marketing.
Dollar amounts represented in millions.

These numbers reflect dramatic growth in technology transfer activity for technology commercialization. Although the greatest increase is in gross revenues, the increase in the number of new and number of active licenses is most significant to the University's mission in technology transfer—to seek commercialization of University technologies for public benefit.

* These numbers are significantly higher due to the success of Carbovits and NetPerceptions.

More Information

To generate copies of NIH and NSF application forms, please go to EGMS at <http://nirvana.ospa.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>, or to NSF at <http://www.nsf.gov/pubs/2000/nsf002/start.htm> (For help, call the EGMS help line at 612.624.1600.)

For funding searches

Please contact the Office of the Vice President for Research 612.625.7585; facgrant@gold.tc.umn.edu <http://www.research.umn.edu/research.html>.

American Cancer Society*** Institutional Research Grant**

The American Cancer Society (ACS), through the University Dean's Committee for the ACS Institutional Research Grant and the University of Minnesota Cancer Center, announces the availability of individual Institutional Research Grants. The stated goal of the American Cancer Society is to "foster meritorious research on cancer that cannot be supported through other available types of support." The purpose of the individual grants is to provide "seed" money to permit the initiation of promising new projects or novel ideas by junior faculty investigators.

The amount of the individual award is up to \$20,000 in direct costs. Eligible applicants must be faculty members at the level of Assistant Professor or Instructor and must not have received a prior ACS Institutional Research Grant or have a current competitive national research grant.

Grants are available to anyone engaged in cancer-related research at the University of Minnesota who meet the above criteria. Cancer-related research includes analysis of developmental biology, gene regulation, or alteration of intracellular or extracellular processes which may lead to an improved understanding and/or therapy of potential or actual oncogenic events in prokaryotic or eukaryotic cells.

The application deadline is **October 1, 2000**. Instructions and application forms are available from the University of Minnesota Cancer Center, Room 460, Cancer Center Research Building, 612.626-1926.

VP Research and Dean, Graduate School*** Grant-in-Aid of Research, Artistry, and Scholarship**

The Office of the Vice President for Research and Dean of the Graduate School is currently accepting applications for the Grant-in-Aid of Research, Artistry, and Scholarship Program for 2000-2001.

Proposals for the fall round are due on **September 25, 2000**. Please contact the Research Support Services Office at 612.625.2356, e-mail facgrant@umn.edu, or go to <http://www.research.umn.edu/research/fundsrc.html>.

American Heart Association*** Northland Affiliate**

The Northland Affiliate includes the states of North and South Dakota, Minnesota and Wisconsin.

Application deadlines for the programs offered by the Northland Affiliate are: Predoctoral Fellowship, Postdoctoral Fellowship, Beginning Grant-in-Aid, Scientist Development Grant, **November 20, 2000**; Grant-in-Aid, **November 21, 2000**.

National Hemophilia Foundation*** Laboratory Grant**

Applications must specifically target projects that may yield scientific information contributing to a cure for bleeding disorders. Areas of investigation may include, but are not limited to, gene therapy. Studies may be carried out at the subcellular, cellular, animal, or patient levels.

Applicants must submit a letter of intent by **October 1, 2000**. Full proposals are due February 1, 2001. Go to <http://fundingopps.cos.com/cgi-bin/getRec?id=53214>.

National Multiple Sclerosis Society*** Health Care Delivery and Policy Research program**

The two contract priorities are: 1) Long-term care studies in multiple sclerosis; and 2) Incentives and disincentives for work and disability among persons with multiple sclerosis. Applicants who wish to apply for more than one of the contract priorities must submit a separate application for each.

A brief letter of intent is due **October 2, 2000**. Full proposals will be invited. Go to <http://www.nmss.org/programs/hcdpr.html>.

U.S. Department of Education*** Business and International Education**

To enhance international business education programs in colleges and universities and expand the capacity of the business community to engage in international economic activities. Institutions of higher

Funding Opportunities

education entered into agreements with trade associations or business enterprises are eligible for funding.

The application deadline is **November 3, 2000**. Go to <http://www.ocfo.ed.gov/fedreg.htm>. Refer to CFDA number 84.153A.

* Undergraduate International Studies and Foreign Languages

To strengthen and improve undergraduate instruction in international studies and foreign languages in the U.S.

The application deadline is **January 2, 2001**. Go to <http://www.ocfo.ed.gov/fedreg.htm>. The CFDA number is 84.016A.

* Fulbright-Hays Faculty Research Abroad Fellowships

For group projects, faculty research, and doctoral dissertation research programs.

October 23, 2000 is the application deadline for group projects abroad; **October 27, 2000** is the deadline for faculty research abroad fellowships and doctoral dissertation research abroad fellowships. Go to <http://www.ocfo.ed.gov/fedreg.htm>. CFDA numbers are 84.021A (group projects), 84.019A (faculty), and 84.022A (dissertation).

* Disability and Rehabilitation Research Fellowships

For research fellowships designed to train highly qualified individuals to perform research on the rehabilitation of individuals with disabilities.

The application deadline is **October 10, 2000**. Go to <http://www.ocfo.ed.gov/fedreg.htm>, CFDA number 84.133F.

NASA

* Innovative Algorithms for Engineering Analysis

For a new generation of research on algorithms in analysis and optimization in aerospace engineering.

The application deadline is **December 1, 2000**. Go to <http://cbdnet.access.gpo.gov>. Click on issue date.

National Science Foundation

* Graduate Research Fellowships

To support graduate research fellowships leading to master's or doctoral degrees across science, mathematics, and engineering fields. There are three application opportunities: during the senior year of college, the first year of graduate school, and the beginning of the second year of graduate school.

The application deadline is **November 7, 2000**. Go to <http://www.orau.org/nsf/nsffel.htm>.

* International Research Fellowship

To introduce scientists and engineers in the early stages of their careers to opportunities abroad. The awards are available for research in any field supported by NSF.

The application deadline is **November 15, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf00141>.

* Astronomy and Astrophysics Postdoctoral Fellowships

Provides an opportunity for highly qualified young investigators within 3 years of obtaining their Ph.D. to carry out an integrated program of independent research and education.

The application deadline is **November 13, 2000**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf00136>.

Department of Defense

Army

* Research in Computer Information Science

A broad agency announcement advertising basic research opportunities in mathematical and computer sciences and other fields.

The solicitation is open until **September 2003**; white papers may be submitted at any time and are strongly encouraged. Go to <http://www.aro.army.mil/researd/ArLBAA00/finalarbaa.1.htm>.

* Research Instrumentation Program

Designed to improve the capabilities of U.S. universities to conduct research and educate scientists and engineers in areas important to national defense. Eligible applicants must have, at the time of submission, a current grant or contract and the instrumentation requested must be in support of research being presently carried out.

The solicitation is open through **September 30, 2003**. Go to http://www.aro.army.mil/research/ArLBAA00/finalarbaa1.htm#RESEARCH_INSTRUMENTATION.

National Institutes of Health

National Center for Complementary and Alternative Medicine

* Botanical Drug Interactions

For biomedical research to prevent adverse botanical/drug interactions during therapy or anesthesia, establish possible synergistic combinations of botanicals with pharmaceutical drugs, and to increase knowledge of the mechanisms of action of botanicals.

Letters of intent are requested by **November 10, 2000**; full proposals due **January 12, 2001**. Go to <http://grants.nih.gov/grants/guide/rfa-files/RFA-AT-00-004.html>.

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		harri140@tc.umn.edu

Instructions on Changing Addresses

SPA cannot change the faculty mailing list. It is a list we buy monthly.

(Faculty mailing labels are those with a string of seven numbers printed above the addressee's name.)

This list is generated by Human Resources and changed in your department.

For faculty-list changes, please call your departmental payroll or Human Resources coordinator.

For changes regarding *other* labels (no numbers above the name), please complete the following:

Change Name: _____
Add Department: _____
Delete Building & Room No.: _____
Mail Delivery Code (if on campus): _____
City, State, Zip (if off campus): _____

Send changes to: Tove Jespersen
Sponsored Projects Administration
450 Gateway Building
200 Oak Street
Minneapolis, MN 55455



Made with agribased inks and at least 10 percent post-consumer waste.

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Research Review



Sponsored Projects Administration
Patents and Technology Marketing
Oversight Analysis and Reporting

October 2000

Volume XXX, Number 4
<http://www.ospa.umn.edu/resrev.htm>

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Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of the month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, erick210@tc.umn.edu.

U of M Morris Professor Honored with National Award

In September, Professor James Cotter, from the University of Minnesota Morris' Geology Department, was one of ten people nationally to receive the Presidential Award for Excellence in Science, Mathematics and Engineering Mentoring.

President Clinton established this award to honor and recognize those who inspire and encourage minorities, women, and persons with disabilities to pursue careers in scientific and technical fields.

"We must draw upon our nation's full talent pool to maintain U.S. leadership across the frontiers of scientific knowledge," said Clinton. The National Science Foundation (NSF) administers and funds this annual award on behalf of the White House which includes a



Professor Cotter, center, receiving his award

commemorative Presidential certificate and a \$10,000 grant for the recipients to continue the outstanding mentoring activities.

Staff from the University of Minnesota Morris nominated Professor Cotter last spring for among other things, "his unflagging devotion to his students, mentoring productive research that stimulates undergraduate achievement and provides an example for all."

The award recognizes Cotter's long-term mentoring program of undergraduate research for women in geosciences. He has generated over \$400,000 in grants supporting research specifically by undergraduates. His main research efforts focus on NSF's Research Experiences for Undergraduates program he created at Morris specifically for women.

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RESEARCH REVIEW

Volume XXX, Number 4

October 2000

Editor: Bruce Erickson

Editorial Assistant: Tove Jespersen

Associate Vice President: Ed Wink

Research Review is a monthly publication of the Office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 450 Gateway Building, 200 Oak Street SE, Minneapolis, MN 55455-2070, or call Bruce Erickson, 612.625.2354, erick210@tc.umn.edu, or Tove Jespersen 612.624.0061, tove@tc.umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New rates effective July 2000

TA, RA, AF: standard of gross salary	\$5.28/hr	+	9.8%
TA, RA, AF: advanced master's or Ph.D.	\$.88/hr	+	9.8%
Summer session semester TA, RA, AF	—		9.8%
Summer session TA, with tuition	\$12.51/hr	+	9.8%
Summer session TA, without tuition	—		9.8%
Professional program assistant	—		9.8%
Dental fellow *	\$3.72/hr		—
Medical fellow *	\$2.64/hr		—

To the rates listed above, add 7.7% to the 9.8% when a graduate student is enrolled for fewer than 3 credits, or less than 1 credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. This is a change from previous years.

Other Job Classes

	Civil Service	Academic	Post-doc class #9546	Graduate Assistant
7/1/99 - 6/30/00	24.4%	27.6%	14.2%	15.3%
7/1/00 - 6/30/01	27.7%	27.5%	15.4%	17.5%
7/1/01 - 6/30/02	30.3%	31.1%	tba	21.1%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009.

Complete details of fringe benefit rates for all classes of UM employees are available at http://process.umn.edu/groups/ppd/documents/rates/fringe2000_01.cfm.

Rate changes will be reflected in this section.

Facilities & Administrative (F&A) (Indirect Cost) Rates

The rates listed at right come from the University's most recent F&A/indirect cost agreement, dated **December 16, 1999**. This date should be used where required on applications.

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration at 612.624.5599. If you have questions on F&A/indirect cost rate development, please call Steve Bradley, 612.626.9895.

* A project is considered off-campus if more than 50 percent of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University.

Research (MTDC base)

On-campus	48.00%	FY 2000
	48.50%	FY 2001-03
Off-campus*	26.00%	FY 2000-03
SAFL on-campus	59.00%	FY 2000-03
SAFL off-campus*	26.00%	FY 2000-03
Hormel on-campus	50.00%	FY 2000-03
Hormel off-campus*	26.00%	FY 2000-03

Other Sponsored Activity (MTDC base)

On-campus	32.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

Instruction (MTDC base)

On-campus	52.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

MTDC (Modified Total Direct Cost):

Total direct cost minus:

- graduate student fringe benefits
- equipment
- capital expenditures, e.g., new building construction
- charges for patient care
- tuition remission
- rental costs of off-site facilities
- scholarships and fellowships
- the portion of each subgrant and sub-contract in excess of \$25,000 per project period

For more information on equipment and subgrants and subcontracts in excess of \$25,000, see the April 1999 *Research Review*, or go to <http://www.ospa.umn.edu/resrev.htm>.

System evolves as number of users increases

A Brief History of EGMS

EGMS version 1.0 officially debuted in December 1998, after an extended period of beta-testing in which faculty and staff could try out the system or use it to prepare real proposals. Since then, changes large and small have been made, both to accommodate the growing needs of users and to make the software more user-friendly. Many of the system updates were a direct response to user feedback. As we work toward version 2.0, input from users remains a critical aspect of providing a system that meets the needs of the University community.

Expanded functionality

You can now use EGMS to prepare types of proposals that were not available when EGMS was initially released. The following proposal options have been added over time: supplemental proposals, NIH modular proposals, NIH SNAP continuations, NSF proposal upload to FastLane, and Minnesota Department of Transportation proposals.

More University forms are also available now through EGMS. What was originally the Proposal Routing Form Database is now the OSPA Forms Database; it includes Form 15 (Annual Report of External Professional Activities; AREPA) and Form 14 (Request for Consultant or Outside Service Agreement; ROC). These forms are both prepared and submitted for approval online. One major advantage of moving these forms online is that a previously prepared form can be used as a template for subsequent submissions, which streamlines the process of completing a lengthy form.

Other updates have provided more information for users as they work within a database. For example, the [View Calc](#) link, now available in the Personnel subsection, allows users to see how EGMS calculated (for each listed individual) the base salary and fringe cost for the first budget period. As a second example, faculty or staff members' full names are

now spelled out next to the internet ID information used in the Expertise and Other Support Database access and group listings.

Fewer keystrokes

EGMS design changes have also simplified the process of proposal preparation. For example, you now create an EGMS user account one time on the first log-in, no matter which of the four EGMS databases you initially enter. Previously, you could not use a database that you had not entered before without first creating a new account in that database. Users who had been in one database would move to another and wonder why they were being prompted to create a new account.

Another example of an easier-to-use interface is the process of building EGMS proposal biosketches. You now use a single step to retrieve and display an entire Expertise record, then quickly select all the items that you want to include in a proposal. A single click adds all the selected data to a proposal. The previous process of adding key personnel biosketch data involved fetching the data in a category (such as Education) of an Expertise record, selecting the desired data from that category, and performing an upload

step to send the selected data to a proposal. This process would then have to be repeated for the other data categories.

Keep those cards and letters coming

As EGMS approaches its second anniversary, many opportunities remain for adding new features, proposal types, and options. Users should continue to send their suggestions and comments to egms@boombox.micro.umn.edu. While not all ideas can be implemented, this type of communication provides us with valuable information as to how users approach proposal preparation. Each message will receive a response from a member of the EGMS staff.

The EGMS development team recently formed a User Services Team, as a more formal mechanism for interacting with departmental users. Users preview and comment on new features and express their ideas for improving the EGMS proposal preparation process. Other forums for gathering input from users are under consideration; as these forums are developed, they will be highlighted in *Research Review*.

EGMS Open Lab Schedule for October - December

Sponsored Projects Administration offers hands-on, open user labs for EGMS users, new and experienced. An EGMS grants assistant is available to answer questions or demonstrate EGMS. Registration is not required for labs.

The lab is offered on Wednesdays from 9 to 11:30 a.m. in room 664, Children's Rehabilitation Center (just south of the Boynton Health Service building on the Minneapolis East Bank). In October, November, and December the lab will be offered on:

October 4	November 1	December 6
October 18	November 15	December 20
	November 29	

Sponsored Financial Reporting

Work-Study

In the July 2000 *Research Review*, departments were asked to pay all work-study student employee salaries from nonsponsored accounts because the credit functionality was not implemented with the PeopleSoft payroll implementation on June 24.

The credit functionality is now in place and if departments have hired work-study students on sponsored projects, they may now appoint students directly on the sponsored account using sub-object 50.

On September 25, work-study credits for the first pay period in FY 00-01 were processed in PeopleSoft and sent to CUFS. The work-study credits for pay periods two through seven will be processed October 13 and sent to CUFS that night. Beginning with pay period eight, from September 25 through October 8, the work-study credits will be processed on a bi-weekly basis, six days after the last day of a pay period. For pay period eight, this will occur on October 14.

If any allocable portion of a work-study student's salary was paid on a nonsponsored account on sub-object 50, departments should transfer the allocable portion to the sponsored account on a sub-object 50 via a Historical Salary Adjustment document after the work-study credits have been processed.

If you have any questions, please call the HRMS Helpline at 612.625.2016.

Payroll Transition from Legacy to PeopleSoft

University departments have until December 15, 2000 to process old payroll Type 38 Journal Vouchers on paper or in Financial Forms Nirvana (FFN) for charges incurred in the old legacy payroll system.

Type 38 Journal Vouchers are used to transfer payroll charges for past pay periods from one account to another and to transfer accrued vacation from one account to another. Although other communications from various University groups may have reported deadlines other than December 15, please be aware that the absolute deadline for processing Type 38 Journal Vouchers is December 15, 2000. The University will not allow further transactions affecting the legacy payroll system on sponsored accounts after the deadline.

Disbursement Services will accept paper documents through the end of business on Friday, December 15. FFN documents will be accepted through 5:00 p.m. on December 15 as well. Central

units will use the week following the deadline to clean-up, and to ensure that all documents submitted by the deadline make it through the legacy payroll system and into CUFS. Please contact the FSS (CUFS) Help Line at 612.624.1617 for assistance.

PeopleSoft's Historical Salary Adjustments (HSA) document replaces both the paper and FFN versions of the Type 38 Journal Voucher and its payroll transfer functionality. The Accrued Vacation Transfer (AVT) document in Financial Forms Nirvana replaces the functionality of the Type 38 Journal Voucher that moved accrued vacation between accounts.

FYI: Pay Period 26 was the last payroll processed in the legacy payroll system. Pay period dates are 6/5/00 - 6/18/00; pay-day was 6/28/00. If an employee worked during pay period 26, but was not paid until 7/12/00 (first payroll of PeopleSoft), the payroll expense transfer needs to be completed on an HSA online in PeopleSoft.

Faculty with 9 Over 12 Appointments

During FY 00-01, the University gave faculty members who previously had a nine, ten, or ten and one-half month appointment the choice to receive their salary over twelve months. Faculty members choosing this option are called "9 over 12" appointments.

On September 7, a list of all "9 over 12" appointments was sent to Key Contacts and this list should have been reviewed and returned to Sandy Keith at the HRMS project. Special training is being provided to the Key Contacts of RRC managers in units where faculty who have elected the "9 over 12" option and who are paid on sponsored accounts.

If you have not been contacted about this training, or if you have any other questions about "9 over 12" appointments, call the HRMS helpline at 612.625.2016.

Patient Care Credits

As a reminder, patient care credits are to be recorded as a negative expense in object code #7450 (medical/dental/healthcare) sub-object #37 (patient care credits).

Patient care credits are usually reimbursements from third parties such as insurance agencies. Patient care credits are not program income on sponsored accounts and should not be recorded as revenue in revenue source codes 4300, 4400, 4410, 4500, 4620, or 4950.

Institutional Review Board Implementation of NIH Requirement

For Education in the Protection of Human Subjects

Effective October 1, 2000, all new, competing renewal, revised, and non-competing continuation grant applications must include a description of all key personnel's education on protecting human subjects.

Non-Competing Continuation Proposals

Who are considered key personnel for this purpose?

All individuals identified in the application as key personnel and who are involved in the design or conduct of the human subjects portion of the project.

What education is available?

The University of Minnesota has three options to meet the basic level:

1. Attendance at Responsible Conduct of Research (RCR) classes between 1995 and 1998
 2. Read Protecting Human Subjects Guide at <http://www.research.umn.edu/subjects/humans/guide/index.html>, and Informed Consent tutorial, <http://www.research.umn.edu/consent/>
- OR**
3. Attend a Protecting Human Subjects workshop offered October 23, or October 24, 2000. (See schedule at <http://www.research.umn.edu/training>).

How do I describe the education?

For each person who meets the criteria listed earlier, write the name of the individual, when the training occurred, the title of the training program, and the following description:

Instruction in Protecting Human Subjects included the definition of human subjects in research; the responsibilities of the investigator; authority, composition, and procedures of Institutional Review Boards (IRB); ethical principals, risk and benefits; the elements and process of informed consent; how to prepare an application and consent document; inclusion and recruitment of special populations; adherence to study protocol; and continuing review.

Where on the application should this information appear?

The information should be in the cover letter signed by the principal investigator

and authorized institutional official at Sponsored Projects Administration (SPA). Although the description of education can be in the progress report, for consistency in processing and because EGMS limits the progress report to two pages, please include the description in a cover letter.

New, Competing Renewal, and Revised Proposals

The description of key personnel's education must be submitted to NIH before funds are awarded. This means the cover letter documenting the education may be submitted in accordance with NIH's "just in time" procedures. NIH will request the letter before the award is issued. It is not required at time of proposal.

Is additional information available?

Please consult your grant administrator at SPA, the staff of the Research Subjects' Protection Program, or go to <http://www.ospa.umn.edu>.

Certified Approver Examination Schedule

on the web at <http://www.oar.umn.edu/CA/schedule.htm>

October 2000 – December 2000

Preregistration Required

Please call 612.625.9057 with questions about the Certified Approver Program

Locations are subject to change

<u>Date</u>	<u>Day</u>	<u>Part</u>	<u>Start</u>	<u>Location</u>
October				
10	Tuesday	2	8:00 a.m. only	9 Eddy Hall
16	Monday	1	8:30, 10:15, 1:00	140 Nolte
24	Tuesday	2	8:00 a.m. only	9 Eddy Hall
November				
7	Tuesday	2	8:00 a.m. only	9 Eddy Hall
13	Monday	1	8:30, 10:15, 1:00	140 Nolte
21	Tuesday	2	8:00 a.m. only	9 Eddy Hall
December				
5	Tuesday	2	8:00 a.m. only	9 Eddy Hall
13	Wednesday	1	8:30, 10:15, 1:00	140 Nolte
19	Tuesday	2	8:00 a.m. only	9 Eddy Hall

**Patents and Technology Marketing
and the
Center for Entrepreneurial Studies**

Starting Companies at the University

The third in a series of presentations by the Twin Cities' Entrepreneur Community to articulate the critical issues in forming a medical-related business and to provide a venue for scientists and business people to meet.

October 13th

2-101 BSBE Building
Minneapolis East Bank Campus
Continental breakfast at 7:30 a.m.
Seminar begins at 8:00 a.m.

speakers:

Tony Strauss, Acting Assistant Vice President, PTM
Michael Moore, Director of Health Technologies, PTM
Dick Bianco, Assistant Vice President, Academic Health Center
John Riedl, Professor and Founder, Net Perceptions

*For information contact Patents and Technology Marketing
612.624.9508 or swans140@tc.umn.edu*

**Sponsored Projects Administration
Question and Answer**

Question: Do I need Sponsored Projects Administration or agency approval to charge costs I incur when my grant has ended and my renewal has not yet begun?

Answer: If the award is covered by expanded authorities, approval is not necessary when there is a break of 90 days or less between competing renewal or continuation budget periods. In these cases, the acceptance of the "Notice of Grant Award" and incurrence of costs will imply pre-award authorization on the part of the University.

If you have questions on whether or not your project is subject to pre-award, please review your agency award document or contact your grant administrator.

Cotter

{continued from page 1}

Cotter also receives matching funds from the Office of the Vice President for Research. Since 1986, Cotter has mentored, educated, and encouraged 66 women with over 86 percent of these women graduating and 31 going on to graduate school.

In addition, Professor Cotter is often invited to speak at national meetings and other events focusing on undergraduate research and the development of research skills and opportunities for women in particular.

Students of Professor Cotter provided letters stating why he was deserving of this award. "Being older and wiser, I also have a new understanding of how much extra effort Professor Cotter has put into working with students, providing them with research opportunities and giving so much of his time to lead them on field trips and take them to professional meetings," said Gina Keenan, hydrogeologist with the Wisconsin Department of Natural Resources.

"Professor Cotter has dedicated his career to creating an environment that encourages and challenges undergraduate women to pursue careers in the geosciences," said Dr. Samuel Schuman, chancellor of the U of M Morris. "Cotter has developed a successful, thriving research program that has especially empowered these women," added Schuman.

**Sponsored Projects Administration
Reminder**

Sponsored Projects Administration (SPA) no longer uses the "ortta" or "ospa" addresses in e-mail. We have conformed to the standard "tc.umn.edu" or "umn.edu" address. For example, person@ospa.umn.edu is now person@tc.umn.edu.

If you have any doubts about correct e-mail addresses, check the staff directory at the back of this publication, or go to the directory on our web site <http://www.ospa.umn.edu/directry.htm>.

Sponsored Projects Administration

Start Date Problems for State of Minnesota Grants and Contracts

University of Minnesota departments share mutual goals and close bonds with State of Minnesota agencies, many of whose staff earned their degrees here. In recent years, this collegiality has contributed to a significant increase in State sponsorship of University projects. Sponsored Projects Administration (SPA) staff for this area has likewise grown, and now includes Amy Levine, Faith Mrutu, and LeAnne Mfalingundi, reporting to Kevin McKoskey. We all continue to strive for greater responsiveness in handling State and local government awards.

Principal Investigators receiving State awards are often frustrated by the long time between an agency's first expression of interest to fund a project and the actual availability of the funds. This is largely due to a State law (M.S.16C.05 subd.2) that prohibits grants or contracts from starting before *the date of final State signature*. This means, regardless of the project period requested in the original

proposal, funds cannot cover costs incurred before the date the award is fully executed. Since the overall award process (issuance by State administrator, SPA review and signature, and obtaining two to four State signatures) may take from several weeks to several months, this can wreak havoc with project planning. SPA encourages PIs to submit proposals as early as possible, and to raise this issue with their agency counterpart early in the cycle, to see what remedies exist or what revisions may be expected.

Once all parties sign the award, only if state personnel invoke a special *waiver* of the restrictive ordinance, will the award be retroactive to the specified project start date. Some program officers are unaware of this provision; others may refuse to cite it, as it has pejorative connotations in some agencies. Contact your grant administrator for assistance in negotiating such arrangements.

This State provision also affects advance account establishment, which PIs often request to get projects under way before the lengthy State award process is resolved. Unlike the federal government, the State does not recognize "pre-award" costs. In these situations, SPA is reticent to set up an account and promote PIs incurring costs for which their department will be accountable. The University needs assurance from the agency, i.e. the waiver, that the award, once executed, will be effective from the original project start date. If agency assurance remains uncertain, we may require explicit departmental acknowledgement of the risks involved before we will establish an account.

We hope to address this and other difficult aspects of State awards in upcoming discussions with State officials, and welcome PI and department staff input and concerns. Feel free to contact us if you have questions on this or related issues.

What's New in Grants Management

An index to changes and announcements

October 2000

(month 4 of UM fiscal 2001)

SPA Update 0105:	<u>Revised Managing Sponsored Projects Manual</u>
Notice Issued:	9/01/00
Supersedes:	2/00 version
Effective date:	9/01/00
Change:	The sponsored projects manual has been revised.
Action to take:	Go to http://www.ospa.umn.edu/revision.htm . Print out the new pages and substitute them for the appropriate pages in the manual.

Sponsored Projects Administration

Proposal and Award Activity - Fiscal Year 2000

The table below shows the distribution of proposals submitted and awards received during FY 2000 among University colleges. One word of caution: proposals submitted during one fiscal year are generally not awarded until the next

year. Comparing the level of proposals submitted in one year to awards received in the same year is not appropriate. For example, the General College submitted 21 proposals and received 22 awards.

University of Minnesota
Proposal and Award Activity Fiscal Year 2000
By College

College	Proposals Submitted		Awards Received	
	Number	Amount	Number	Amount
Medical School	1,360	\$ 306,172,466	1,001	\$ 138,395,882
School of Dentistry	37	8,438,681	30	4,519,501
College of Pharmacy	61	10,543,372	35	3,976,233
School of Nursing	43	9,607,656	27	1,587,642
School of Public Health	259	109,902,731	191	55,320,159
College of Veterinary Medicine	148	34,915,120	84	10,149,931
UMD School of Medicine	64	12,774,947	36	3,311,071
Academic Health Center-Shared	98	28,995,839	76	16,405,643
Health Sciences Administration	3	527,974	0	0
<i>Total Health Sciences</i>	2,073	\$ 521,878,786	1,480	\$ 233,666,062
Institute of Technology	704	\$ 286,956,528	625	\$ 86,074,231
College of Agriculture, Food, Env Sciences	350	65,716,691	232	17,893,965
College of Architecture & Landscape Arch	24	2,330,873	17	1,313,555
College of Biological Sciences	154	38,470,917	114	14,325,256
College of Education & Human Development	169	57,818,502	110	17,857,720
College of Human Ecology	92	18,900,194	39	12,296,497
College of Liberal Arts	132	30,509,318	93	12,725,452
College of Natural Resources	146	34,449,389	122	7,442,329
Carlson School of Management	16	3,044,092	10	750,232
Humphrey Institute of Public Affairs	24	5,512,333	19	4,678,488
Law School	4	128,849	3	313,313
General College	21	5,129,696	22	2,642,938
Agricultural Experiment Station	30	4,070,732	17	1,573,669
MN Extension Service	17	22,086,540	17	13,241,400
University College	10	625,379	9	435,571
Other	0	0	0	0
<i>Total Twin Cities Provost</i>	1,893	\$ 575,750,033	1,449	\$ 193,564,616
VP for Research	68	\$ 17,368,142	54	\$ 10,822,747
UM-Duluth	226	49,813,296	169	12,560,788
UM-Morris	20	4,033,099	18	677,851
UM-Crookston	14	808,969	11	664,311
Other Units	46	10,520,289	31	3,242,834
<i>Grand Total</i>	4,340	\$ 1,180,172,614	3,212	\$ 455,199,209

More Information

To generate copies of NIH and NSF application forms, please go to EGMS at <http://nirvana.ospa.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>, or to NSF at <http://www.nsf.gov/pubs/2000/nsf002/start.htm> (For help, call the EGMS help line at 612.624.1600.)

For funding searches

Please contact the Office of the Vice President for Research
612.625.7585; facgrant@gold.tc.umn.edu
<http://www.research.umn.edu/research.html>.

American Historical Society

* Jameson Fellowship in American History

A one-semester fellowship carrying a stipend of \$10,000. Supports research by young historians for whom the Library of Congress is the most appropriate resource.

The anticipated deadline is **January 15, 2001**. Go to <http://www.theaha.org/info/fawards.html>.

Christensen Fund

* Science Grants

Supporting field research in evolution, ecology, and behavior, particularly as these disciplines actively aid in the conservation and management of endangered habitats and organisms.

There is **no deadline**. A single-page abstract is requested; the fund will invite a full proposal. Go to http://www.christensenfund.org/frame_science_grants.html.

Leverhulme Trust

* Research Programmes

A grant offered by a London-based trust supporting a major research program designed to last for five years at a total cost of no more than £1.25 million. Applications should be made by groups of senior researchers or by existing research centers.

Fields supported are: 1) the social and economic impact of information and communication technology; 2) cognition, learning, education, and artificial intelligence; and 3) long-term settlement in the ancient world.

A brief abstract is requested by **November 15, 2000**. Full proposals will be invited. Go to <http://www.leverhulme.org.uk/programmes.html>.

Woodrow Wilson National Fellowship Foundation

* Public Scholarship Grants

Support to further the ways in which university-based artists and humanists contribute to both our civic heritage and to our civic future. Campus artists, humanists, and their community partners together will define a project that focuses on an issue of cultural or social significance at the local, regional, or national level.

The application deadline is **November 3, 2000**.

Go to <http://www.woodros.org/imagining-america/>.

McKnight Foundation

* Innovations in Neuroscience

The McKnight Endowment fund for Neuroscience supports projects on the novel approaches to exploring and understanding how the brain functions.

The application deadline is **December 1, 2000**. Go to <http://www.mcknight.org/neuroscience/index.htm>.

Ploughshares Fund

* Grants

To provide support to efforts to eliminate the threat of nuclear war, including burgeoning trade in conventional weapons, explosion of regional conflict after the Cold War, and the growing danger of nuclear weapons proliferation following the breakup of the Soviet Union.

The deadline is **December 1, 2000**. Go to <http://www.ploughshares.org/application.html>.

Association for the Sociology of Religion

* Fichter Research Grants

To advance theory and research in the sociology of religion. For the Fichter Grants, applications are invited from scholars involved in promising research on women and religion. Applicants must be members of the Association at the time of submission.

The anticipated deadline is **March 1, 2001**. Go to <http://www.sociologyofreligion.com/FICHEXPL.html>.

J. Paul Getty Trust

* Collaborative Research Grants

For teams of scholars to pursue interpretive research projects that offer new explanations of art and its history.

The deadline is **November 1, 2000**. Go to <http://www.getty.edu/grant/gschl.html#sen>.

Funding Opportunities

American Cancer Society

* Targeted Intervention Opportunity Grants

For targeted grant support to 1) disseminate and apply scientifically-proven cancer prevention and control interventions through the ACS system of community-based divisions and units, and 2) conduct an evaluation of the dissemination and application process in order to recommend to the ACS whether a given intervention should be considered for nationwide distribution.

The application deadline is **December 15, 2000**. Go to http://www.cancer.org/research/grants/targetIntervention_rfa.html.

National Endowment for Financial Education

NEFE is dedicated to the mission of helping individual Americans acquire the information and gain the skills necessary to take control of their financial lives. **Deadlines vary**. Applicants should contact NEFE to determine if an RFP is still open. Go to <http://www.nefe.org/pages/innovative.html>. Initiatives are:

- * **Assessing Retirement Preparation Resources for Self-Employed Populations to Identify Barriers and Solutions**
- * **Preparing Mature, Independent, Low-Income Women for Retirement**
- * **Dividing Marital Assets**
- * **Money Management Behaviors Influencing the Accumulation of Debt and Savings by Women**
- * **Multiple Bankruptcies – Causes, Trends, and Remedies**
- * **The Perception of Debt and Factors that Cause Individuals not to Recognize they are Over-Extended**

Department of Defense

Department of the Air Force

* Audio/Speech Processing

Solicitation of white papers for research and development in audio and speech processing technology in the areas of message sorting and translation, interference reduction, voice countermeasures, jam-resistant communications, man-machine interface, and background sound identification.

The deadline is **continuous through September 30, 2001**. Go to <http://www.if.af.mil/div/IFK/baa/baa9707mod2.html>.

U.S. Department of Education

* Undergraduate International Studies and Foreign Language Program CFDA 84.016A

To strengthen and improve undergraduate instruction in international studies and foreign languages in the U.S.

The deadline is **November 3, 2000**. Go to <http://fundingopps.cos.com/cgi-bin/getRec?id=8770>.

National Science Foundation

* Centers for Learning and Teaching NSF 00-148

Centers will provide an environment that melds research, teacher professional development, and education practice that will address critical issues and national needs of the science, mathematics, engineering, and technology instructional workforce.

A preproposal is due **December 14, 2000**, with full proposals due **March 15, 2001**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf00148>.

* NSF/NATO Postdoctoral Fellowships

12-month postdoctoral research fellowships for research abroad and to host scientists from NATO partner countries.

The application deadline is **November 28, 2000**. Go to <http://www.nsf.gov/pubs.2000/nsf00145/nsf00145.htm>.

Environmental Protection Agency

* STAR Fellowships

Graduate fellowships for master's and doctoral-level students in environmentally related fields of study.

The application deadline is **November 20, 2000**. Go to <http://es.epa.gov/ncerqa>. Click on "Fellowships."

* Phytoremediation Research

To conduct research on the use of plants to clean up or neutralize contaminated soil, with an eye toward developing totally new applications for the technology.

The application deadline is **January 22, 2001**. Go to <http://es.epa.gov/ncerqa/rfa/phytore00.html>.

U.S. Department of Agriculture

* National Research Initiative

Applications for new research, conferences, and research enhancement awards.

Deadlines vary by program category and subcategory. Go to <http://www.reeusda.gov/nri>.

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Instructions on Changing Addresses

SPA cannot change the faculty mailing list. It is a list we buy monthly.

(Faculty mailing labels are those with a string of seven numbers printed above the addressee's name.)

This list is generated by Human Resources and changed in your department.

For faculty-list changes, please call your departmental payroll or Human Resources coordinator.

For changes regarding *other* labels (no numbers above the name), please complete the following:

Change Name: _____

Add Department: _____

Delete Building & Room No.: _____

Mail Delivery Code (if on campus): _____

City, State, Zip (if off campus): _____

Send changes to: Tove Jespersen
Sponsored Projects Administration
450 Gateway Building
200 Oak Street
Minneapolis, MN 55455



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Research Review



Sponsored Projects Administration
Patents and Technology Marketing
Oversight Analysis and Reporting

November 2000

Volume XXX, Number 5
<http://www.ospa.umn.edu/resrev.htm>

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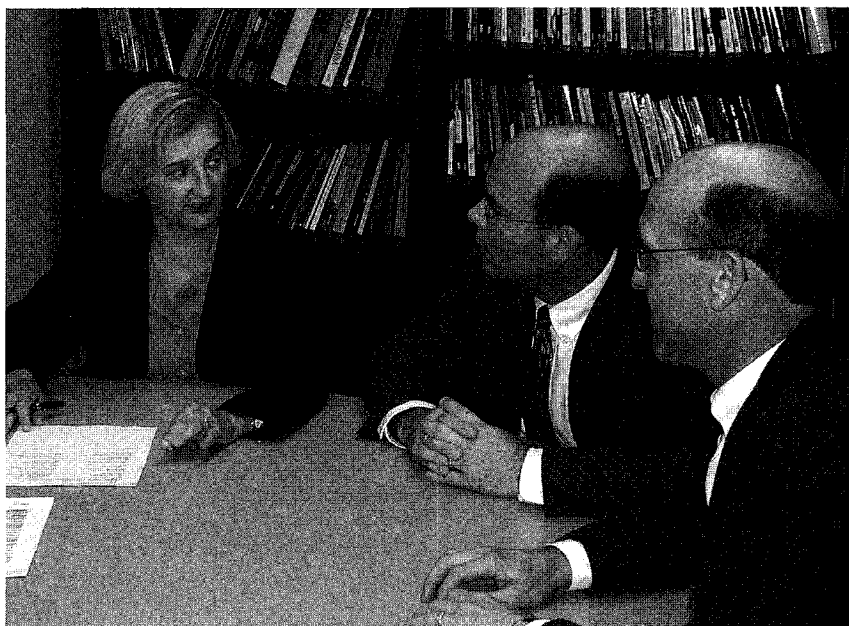
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Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of the month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, erick210@tc.umn.edu.

General Motors Puts U of M Researchers on Fast Track

The University of Minnesota and General Motors have signed an agreement that streamlines the process by which the automotive company awards research grants to the University. By agreeing to contract language on items such as intellectual property rights, publication process, liability, term and termination for all research contracts, the new master research agreement removes the necessity of renegotiating all terms of every new contract.



VP Maziar with Ken Kelzer and Dan Finstad, officials from General Motors

“With this agreement, our researchers will be able to spend more time planning and performing research and less time on red tape,” said Christine Maziar, university vice president for research. “It is in keeping with the University’s commitment to expand the process of technology transfer and move the fruits of our research to the market more efficiently. We are pleased by this vote of confidence from General Motors, and we look forward to a productive relationship that will benefit all concerned.”

This is the first such master research agreement the University has signed. The first beneficiary will be a project concerning the synthesis and processing of polymer composite materials. That work will be carried out by researchers from the Department of Chemical Engineering and Materials Science, and the Department of Chemistry.

RESEARCH REVIEW

Volume XXX, Number 5

November 2000

Editor: Bruce Erickson

Editorial Assistant: Tove Jespersen

Associate Vice President: Ed Wink

Research Review is a monthly publication of the Office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 450 Gateway Building, 200 Oak Street SE, Minneapolis, MN 55455-2070, or call Bruce Erickson, 612.625.2354, erick210@tc.umn.edu, or Tove Jespersen 612.624.0061, tove@tc.umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New rates effective July 2000

TA, RA, AF: standard of gross salary	\$5.28/hr	+	9.8%
TA, RA, AF: advanced master's or Ph.D.	\$.88/hr	+	9.8%
Summer session semester TA, RA, AF	—		9.8%
Summer session TA, with tuition	\$12.51/hr	+	9.8%
Summer session TA, without tuition	—		9.8%
Professional program assistant	—		9.8%
Dental fellow *	\$3.72/hr		—
Medical fellow *	\$2.64/hr		—

To the rates listed above, add 7.7% to the 9.8% when a graduate student is enrolled for fewer than 3 credits, or less than 1 credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. This is a change from previous years.

Other Job Classes

	Civil Service	Academic	Post-doc class #9546	Graduate Assistant
7/1/99 - 6/30/00	24.4%	27.6%	14.2%	15.3%
7/1/00 - 6/30/01	27.7%	27.5%	15.4%	17.5%
7/1/01 - 6/30/02	30.3%	31.1%	tba	21.1%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009.

Complete details of fringe benefit rates for all classes of UM employees are available at http://process.umn.edu/groups/ppd/documents/rates/fringe2000_01.cfm.

Rate changes will be reflected in this section.

Facilities & Administrative (F&A) (Indirect Cost) Rates

The rates listed at right come from the University's most recent F&A/indirect cost agreement, dated **December 16, 1999**. This date should be used where required on applications.

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration at 612.624.5599. If you have questions on F&A/indirect cost rate development, please call Steve Bradley, 612.626.9895.

* A project is considered off-campus if more than 50 percent of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University.

Research (MTDC base)

On-campus	48.00%	FY 2000
	48.50%	FY 2001-03
Off-campus*	26.00%	FY 2000-03
SAFL on-campus	59.00%	FY 2000-03
SAFL off-campus*	26.00%	FY 2000-03
Hormel on-campus	50.00%	FY 2000-03
Hormel off-campus*	26.00%	FY 2000-03

Other Sponsored Activity (MTDC base)

On-campus	32.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

Instruction (MTDC base)

On-campus	52.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

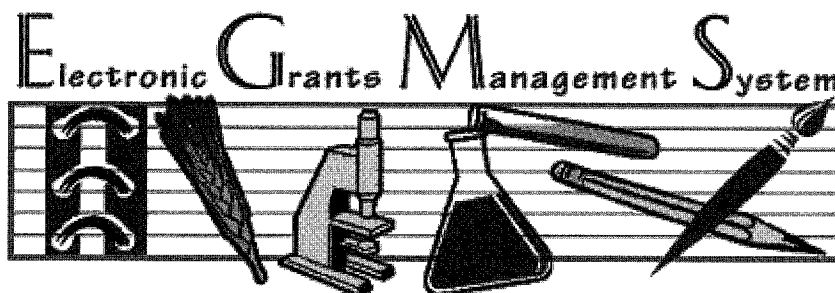
The entire agreement may be found at http://www.fpd.finop.umn.edu/groups/ppd/documents/rates/f_and_a_rates.cfm.

MTDC (Modified Total Direct Cost):

Total direct cost minus:

- graduate student fringe benefits
- equipment
- capital expenditures, e.g., new building construction
- charges for patient care
- tuition remission
- rental costs of off-site facilities
- scholarships and fellowships
- the portion of each subgrant and sub-contract in excess of \$25,000 per project period

For more information on equipment and subgrants and subcontracts in excess of \$25,000, see the April 1999 *Research Review*, or go to <http://www.ospa.umn.edu/resrev.htm>.



New Features Available in EGMS

We want to keep you up-to-date on enhanced and new EGMS features. Look for this occasional update list in *Research Review*.

Documentation:

- Instructions for Modular Grants updated to include the modified NIH requirements for proposals due on or after the September 1, 2000 deadline.
- Instructions for Preparing an AREPA (Annual Report of External Professional Activities) and Approving an AREPA posted to EGMS Home Page.

On the EGMS Home Page:

- Re-design of links providing supporting information: archive of *Research Review* articles moved under [EGMS User Support](#); [Instructions for Special Proposal Types](#) link added.

In the Proposal Preparation Database:

- **Submit button** (Proposal Settings screen): re-named Save.
- **Next button** (Key Personnel, Progress Report, Project Information, Budget, and Assurances sections): re-named Add for first time entry of data and Update for subsequent entries or editing of data.
- **Modifications to data entry for modular proposals** (Key Personnel and Budget sections):
 - **Research Activity subsection:** percent effort and specific function on proposed research fields removed; instead, EGMS requests specific function data in the Justification box of the Personnel subsection (Budget section).
 - **Consultant subsection:** two new fields, percent of effort and specific functions on the proposed project, added.

In the Other Support Database:

- **Print a stand-alone Other Support list** (Print Menu screen): customize and print Other Support data on NIH Form 398's continuation page.

Problems Printing using Internet Explorer 5.5

EGMS users who have upgraded to Microsoft Internet Explorer 5.5 have been contacting the EGMS phone and e-mail helplines because they cannot print EGMS PDF (portable document format) documents. The apparent incompatibility problem rests with Microsoft's browser software; the EGMS software code used for the printing functions has not been altered at all. According to the National Science Foundation (NSF), investigators using PDF documents on NSF's FastLane site have also experienced a similar problem with Internet Explorer 5.5.

While you can print EGMS documents with Netscape 3.0 or higher and Internet Explorer 5, you cannot print EGMS PDF documents with Internet Explorer 4 and 5.5. When you use Internet Explorer 4 or 5.5, EGMS is unable to display the EGMS PDF pages.

In the meantime, if you have Internet Explorer 4 or 5.5, you can print your EGMS PDF documents using a different browser on your computer or by using a different computer with an appropriate browser. As additional information regarding this issue becomes available, we will publish it in *Research Review*.

If you are using Netscape 3.0 or higher or Internet Explorer 5 but are having trouble printing, contact the EGMS technical help line at 612.624.1600 or egms@boombox.micro.umn.edu. The helpline staff can assist you in checking that Adobe Acrobat Reader has been installed into your browser correctly.

EGMS Use

	Totally Electronic Proposals	Manual Proposals with Electronic Routing Form	Totally Manual Proposals
September 1998	2.2%	18.6%	79.2%
September 1999	13.0%	44.4%	42.6%
September 2000	32.7%	67.3%	0.0%

Certified Approver Program: Document Approvals and Routing Grid

(Sponsored Project Transactions ONLY)

Policy Reference: *Approvals and Routing Policy*

NOTE: Documents not listed below are currently NOT a part of the Certified Approver Program and should continue to be reviewed by SPA. If you have questions about this "grid" or the Certified Approver Program, please contact the Office of Oversight, Analysis, and Reporting (OAR) at 612.625.9057 or email us at oar@umn.edu.

Select a Document:

Last Updated: 10/15/2000*

<ul style="list-style-type: none"> • BA25: Scholarship, Grant, Fellowship Authorization form • EB/RB: Expense Budget/Revenue Budget document • ER: Encumbrance Release (Financial Forms Nirvana only) • ET: Expense Budget Transfer • HSA: Historical Salary Adjustment • IV: Intra-Institutional Voucher 	<ul style="list-style-type: none"> • IX: Expense Transfer • JV: Journal Voucher • NBUD: Budgetary Controls (Financial Forms Nirvana only) • POT: Department Purchase Order • PVA: Payment Voucher Authorization • PV: Green Label • PV: Payment Voucher for Travel Expenses 	<ul style="list-style-type: none"> • PV: Subcontracts • PVC: Payment for Professional Services Contracts • RX: Central Requisition Supplement • TA: Travel Authorization • TP: Travel Payment • TPA: Travel payment authorization
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* This document will be re-assessed annually for updates and changes. All recommended changes should be sent to the Chair of the Certified Approver Program Oversight Committee.

Activity/Document	Approval Threshold	
Professional Services Policy Reference: <i>Purchasing a Professional Service</i>	\$2,000 or Less	\$2,001 or Greater
Contract for Professional Services/PO	Requires approval by Certified Approver (CA)	All documents must be approved by SPA
PVC/PV	All documents must be approved by a CA regardless of dollar amount	
Purchase of Goods from External Vendors Policy Reference: <i>Purchasing Policies</i>	Less than \$1,000	\$1,000 or Greater
POT	Requires approval by an Area Authorized Approver	Requires approval by CA
RX	Such transactions should not occur	\$10,000 or greater is the current threshold for RX documents and they must be approved by CA
PV with an approved POT (encumbered)	Requires approval by an Area Authorized Approver for payments within the tolerance of the purchase order recorded in the ledger	
PV without an approved POT/RX	Requires approval by an Area Authorized Approver	Requires approval by CA
PVA	Requires approval by an Area Authorized Approver	Requires approval by CA
Purchasing Card (ECAR)	Requires approval by an Area Authorized Approver	Such transactions should not occur on sponsored funds and are against policy.
ER	Requires approval by an Area Authorized Approver, CA approval not required	Requires approval by an Area Authorized Approver, CA approval not required
Purchases from Internal Vendors	Less than \$1,000	\$1,000 or Greater
Internal Purchase Order	Requires approval by an Area Authorized Approver	Requires approval by CA
IV or JV with an approved internal purchase order (encumbered)	Requires approval by an Area Authorized Approver for payments within the tolerance of the purchase order recorded in the ledger	
IV or JV without an approved internal purchase order	Requires approval by an Area Authorized Approver	Requires approval by CA

Scholarship, Grant, Fellowship Authorization	Less than \$1,000	\$1,000 or Greater
BA25	Requires approval by an Area Authorized Approver	Requires approval by CA
Budget Transactions		
All Dollar Amounts		
ET	All documents must be approved by CA regardless of dollar amount	
NBUD	Line activation/deactivation and spending indicator documents require approval by an Area Authorized Approver. Documents redistributing dollars between existing categories require approval by SPA regardless of dollar amount	
EB/RB	All documents must be approved by SPA regardless of dollar amount	
Non-Salary Cost Transfers		
<i>Policy Reference: Cost Transfer Policy</i>		
IX moving charges <i>TO</i> a sponsored project (within 30 day cost transfer window)	Requires approval by CA regardless of dollar amount	
IX removing charges <i>FROM</i> a sponsored project (within 30 day cost transfer window)	Requires approval by an Area Authorized Approver	
IX processed outside of the 30 day cost transfer window	Refer to cost transfer policy above	
Salary Cost Transfer		
All Dollar Amounts		
Type 38 JV	Only allowable through 12/15/00, and ALL documents must be reviewed by CA regardless of dollar amount	
HSA (PeopleSoft)	Approvals should follow procedures outlined in Training Services Materials	
Subcontracts		
All Dollar Amounts		
PO	ALL documents must be approved by SPA regardless of dollar amount	
PV	ALL documents must be approved by PI regardless of dollar amount and should not exceed the purchase order limit. Upon PI approval, all documents must be forwarded to SPA for payment	
Travel		
All Dollar Amounts		
<i>Policy Reference: Travel Web</i>		
TA	ALL documents require approval by CA before the trip	
TP/PV/PVA/TPA	ALL documents require approval by CA regardless of dollar amount	

CA Update

Are you wondering which transactions require a certified approver signature? The Document Approvals & Routing grid available above and on the web at <http://www.oar.umn.edu/CAindex.html> has the answer. The grid specifies dollar thresholds and approval requirements for all documents currently covered by the Certified Approver Program. It also includes hyperlinks to important policy and procedure pages related to sponsored transactions. If you have questions about any of the information on the "grid" or the Certified Approver Program, please contact the Office of Oversight, Analysis, and Reporting (OAR) at 612.625.9057, email oar@umn.edu. Changes or suggestions for enhancements to the "grid" should be communicated to the Chair of the CA Program Oversight Committee, anne@itdean.umn.edu.

Certified Approver Examination Schedule

on the web at <http://www.oar.umn.edu/CA/schedule.htm>

November 2000 – December 2000

Preregistration Required

Please call 612.625.9057 with questions about the Certified Approver Program

Locations are subject to change

<u>Date</u>	<u>Day</u>	<u>Part</u>	<u>Start</u>	<u>Location</u>
November				
7	Tuesday	2	8:00 a.m. only	9 Eddy Hall
13	Monday	1	8:30, 10:15, 1:00	140 Nolte
21	Tuesday	2	8:00 a.m. only	9 Eddy Hall
December				
5	Tuesday	2	8:00 a.m. only	9 Eddy Hall
13	Wednesday	1	8:30, 10:15, 1:00	140 Nolte
19	Tuesday	2	8:00 a.m. only	9 Eddy Hall

New Accrued Vacation Transfer (AVT) Process Affecting Sponsored Accounts

The University recently developed a new process for Accrued Vacation Transfers (AVT) on both sponsored and nonsponsored accounts to coincide with PeopleSoft. The new process was necessary because PeopleSoft could not utilize the former methodology including the use of the obsolete Type 38 Salary Adjustment forms.

Highlights of the new AVT process include:

- a new electronic Journal Voucher document in Financial FormsNirvana (FFN) to use for all AVT transactions
- a new transfer - subobject code of 9999-99 to use on all vacation transfers
- for sponsored accounts, FFN will display a warning message during initial verification reminding users that by approving the documents, they are validating that staff earned vacation on the account during the dates listed
- FFN will automatically route the new AVT documents to local Certified Approvers for their review

As with other expenses, transfers to *sponsored accounts* must represent reasonable, allocable and allowable costs in compliance with federal regulations and University policy as well as the terms and conditions of each *sponsored agreement*.

Volume of such transfers to sponsored accounts is expected to be low. A recent study showed that there were fifty (50) such transactions during fiscal year 1999 totaling approximately \$50,000.

Please contact the Financial Systems Support Help Line at 612.624.1617 or fsshhelp@umn.edu with questions concerning the AVT process.

Departments can call their SPA grant administrator to set up the 9999-99 transfer - code on sponsored accounts on an as needed basis.

Reminder Payroll Transition from Legacy to PeopleSoft

As a reminder, because of the shutdown of the legacy payroll system, functionality of the Type 38 Journal Voucher will end on December 15, 2000. Departments must use Type 38 vouchers to debit or credit sponsored accounts for payroll charges incurred in the legacy payroll system

Although other communications from various University groups may have reported deadlines other than December 15, please be aware that the absolute deadline for processing Type 38 Journal Vouchers is December 15, 2000. The University will not allow further transactions affecting the legacy payroll system on sponsored accounts after the deadline.

Disbursement Services will accept paper documents through the end of business on Friday, December 15. FFN documents will be accepted through 5:00 p.m. on December 15 as well. Central units will use the week following the deadline to clean-up, and to ensure that all documents submitted by the deadline make it through the legacy payroll system and into CUFS. Please contact the FSS (CUFS) Help Line at 612.624.1617 for assistance.

Process Change for Equipment Purchase Approvals

Effective immediately, Sponsored Projects Administration (SPA) will no longer be involved in approving requests for equipment purchases not included in the approved budget, also known as IPAS, unless sponsor approval is necessary. SPA and Certified Approvers will work together to ensure that equipment purchases on sponsored projects receive proper oversight with adequate documentation for internal and external audits. SPA will finish processing IPAS letters currently in its office but future requests will go through Certified Approvers.

Important Points:

Definition of Equipment:

Any item purchased as a unit consistent with University policies for capitalization. After 7/1/99 the capitalization level is \$2,500 or more. Prior to 7/1/99, the capitalization level was \$500. In addition, some agencies mandate capitalization levels lower than the University's.

Agency Prior Approval:

Review the award notice or contract and sponsor policy before ordering equipment not in the original proposal budget. Some

sponsors require prior approval for any changes in the budget.

Required Documentation:

Information to include in the comment box on the purchase order or related DTEX document:

- An indication of the benefit to the project for each item. If a PI wants to purchase general purpose equipment, documentation must justify how the purchase advances the objectives of the grant.

{continued on page 13}

Q & A on NIH Requirements for Education on Protecting Human Subjects

1. Does the October 1, 2000 effective date apply to both awards and applications?

Yes. The effective date applies to all NIH projects scheduled for funding in federal FY 2001 which began October 1, 2000. For applications submitted prior to October 1, 2000, NIH will request documentation that its required education has been met prior to the award.

2. Did NIH change the definition of key personnel?

The NIH Notice OD – 00 – 039, dated June 5, 2000, states: "Key personnel include all individuals responsible for the design and conduct of the study." The definition in the NIH Guide for Grants and Contracts reads: "Key personnel are defined as, and should be limited to, individuals who contribute in a substantive way to the scientific development or execution of the project...". Discussion with NIH officials indicate that there is potential for variation between institutes in the administrative review of proposals. For instance there is an expectation that anyone listed on the budget page will be screened for having met the education requirements.

3. Who determines key personnel?

The Principal Investigator decides who meets the definition(s) but should be aware of the potential variations of administrative review between institutes.

4. Could "design and conduct of the study" include support staff who schedule appointments?

Yes. If support staff have access to confidential information, then they should be aware of the issues of confidentiality, or they may need to know that the study could be of a sensitive nature and so requires discretion when contacting an individual.

5. What if the person has no contact with the subject, but is just working with data?

Those personnel who gather or analyze data should have a basic understanding of confidentiality and privacy to ensure the commitments made by the researcher during the consent process. Likewise, individuals who "only handle paperwork" may also need to be aware of confidentiality issues.

6. Do classes that graduate students take meet the basic educational requirement?

Some classes meet the educational requirements, depending upon the extent of instruction on the topic. Examples of classes meeting the requirement are "Clinical Research: Introductory Seminar for Health Professionals" in public health and "Ethics of Research on Human Subjects" in philosophy.

If taken by employees, these classes would also meet the basic educational requirement. We do not intend to duplicate the education that graduate students receive in their programs. We are working to integrate the material included in these classes with the information in the RCR training database.

7. Are there educational options besides those provided by the U of M?

Yes. Other universities and organizations offer seminars and workshops on Protecting Human Subjects meeting the basic education requirements. Examples of organizations offering similar education include Association of American Medical Colleges (AAMC) and Public Responsibility in Medicine and Research (PRIM&R).

If staff use a workshop or other instructional experience outside the U of M to meet the educational requirement, then the PI needs to include a short description of the material covered in that instruction.

8. Can staff use the NIH on-line tutorial "Protection of Human Research Subjects: Computer-Based Training for Researchers" to meet the basic educational requirement?

Yes. But we recommend staff use the U of M tutorials instead. In its notice, NIH refers to its intramural tutorial: "While this training module was developed for NIH staff, it can be downloaded at no cost *and modified for use in other institutions*, if desired." Because of its choice of wording, we are concerned that NIH may deem the tutorial by itself without institutional modification as insufficient. In contrast, the University developed two web-based programs covering the same topics as the in-person workshops we offer.

9. Are there additional educational requirements for Protecting Human Subjects?

Yes. An NIH Notice states, "While all investigators need education in the basics of human subjects research, some may elect more intensive study if their work involves especially difficult topics or special populations." We are working to better understand NIH's expectations, who needs additional training, and what instruction is necessary. We will provide more information as it becomes available.

10. Does the Responsible Conduct of Research (RCR) part 1 or part 2 meet NIH's basic educational requirement?

No. Neither RCR part 1 or RCR part 2 offered this year include protecting human subjects. This is an additional workshop (or instruction) in the RCR curriculum as outlined in the brochure, New Educational Requirement of All Principal Investigators, and on the Education & Staff Development website at <http://www.research.umn.edu/training/>.

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Independent Study Demonstrates Universities Not Receiving Full F&A Reimbursement

During July 2000, the independent RAND Science and Technology Policy Institute published its "Paying for University Facilities & Administrative (F&A) Costs" report involving sponsored agreements with the federal government. The White House Office of Science & Technology Policy (OSTP) commissioned this analysis in response to congressional concerns that such reimbursements are too high and the stated OSTP objective of reducing F&A rates by 10 percent on a nation-wide basis.

However, RAND found just the opposite to be true. Report highlights include:

- On a national basis, universities are not being properly reimbursed \$700 million to \$1.5 billion per year in F&A costs
- Institutions are only recovering 70 - 90 percent of true F&A costs
- University rates are 2 - 5 percent *less than* rates for federal and private research labs
- Contrary to popular belief, F&A rates have remained constant over the last decade
- The national average research F&A rate was 50.8 percent during fiscal year (FY) 1999

RAND identified several major causes for its results, including, many federal government sponsors do not reimburse universities at full-negotiated F&A rates, and institutional cost sharing results in lower reimbursements since these amounts are not subject to F&A rate application for recovery purposes, but these amounts are included in research F&A rate calculations. In addition, institutions are experiencing much higher regulatory and compliance costs that are not fully reimbursed due to the federal 26 percent cap on the administrative F&A component:

These results have significant implications for the University of Minnesota:

- The University does not recover an estimated \$6 to \$19 million annually (extrapolating the 10 - 30 percent shortfall mentioned above to the actual FY2000 total \$64 million recovery);
- This systemic under-reimbursement is *before* normal F&A rate proposal submission and negotiation process; for example, the University proposed a 53 - 56 percent research rate during its recent federal negotiations but received only 48.5 percent;

The full RAND report is available in electronic format at the following website: <http://www.rand.org/publications/MR/MR1135.1/>.

Sponsored Project Administration F&A Rate Agreement Now Available Online

In response to several requests from external sponsors and University departmental staff, SPA has added the most recent F&A Rate Agreement, dated December 16, 1999, to the SPA website.

For access, users can go to <http://www.ospa.umn.edu>, click on the "F&A Rates" link under the "Rates" heading, and select the "12/16/99 F&A Rate" link. Users can also find the direct link on page two of the *Research Review* in the F&A Rates section. Please note that this electronic version includes full official signatures and dates.

Effective immediately, faculty and University staff should use this website as the primary source for viewing and printing the rate agreement document. In some cases, external sponsors require PIs to include a copy of the agreement as part of the proposal submission. Please refer external parties to the website if necessary. SPA hopes this new practice will improve efficiency for all parties.

Please note, printing from this site is as official as faxing the agreement to external requesters like sponsoring agency staff members. The federal government considers these type of agreements to be public information, so our disclosure is absolutely permissible.

What's New in Grants Management

An index to changes and announcements

November 2000

(month 5 of UM fiscal 2001)

SPA Update 0106:	<u>Process Change for Equipment Purchase Approvals</u>
Notice Issued:	Immediately
Supersedes:	
Effective date:	Immediately
Change:	Sponsored Projects Administration (SPA) will no longer be involved in approving requests for equipment purchases not included in the approved budget.
Action to take:	See article in the November <i>Research Review</i> , page 6.

Agreement gives U of M Agricultural Marketing Agent

U of M and Minnesota Crop Improve Association Enter Marketing Agreement

The Minnesota Crop Improvement Association (MCIA) will serve as a marketing agent for the University of Minnesota's College of Agricultural, Food, and Environmental Science (COAFES) under an agreement signed September 5 between MCIA, COAFES, and the University office Patents and Technology Marketing (PTM).

Designed to help the state agricultural community reap the benefits of university research, the agreement empowers MCIA, a nonprofit association of seed growers that provides certification and other quality assurance services to the seed and grain

industry, to act as marketing agent for COAFES faculty. MCIA will work with the faculty and PTM staff to license and market new and improved crop varieties developed at the University of Minnesota to growers, groups of growers, and agricultural companies more quickly.

"We are excited to work with University faculty and staff to maximize benefits for Minnesota's and the world's agricultural community," said Gary Beil, president and CEO of MCIA.

"MCIA staff have close relationships and contacts with many people and companies throughout the seed industry," said

Charles Muscoplat, COAFES dean.

"They also know the value of the new crop variety traits that will allow them to license and market these products more quickly."

Tony Strauss, acting assistant vice president of PTM, said he hopes the agreement will help continue the increasing patent and licensing activity at the University. "This partnership demonstrates how the University continues to find new ways of getting ideas and products of University research out to the public to benefit the citizens of Minnesota" he said.

U.S. Department of Agriculture National Research Initiative (NRI) Competitive Grants Program

Annual deadlines for grant proposals under this program are:

November 15, 2000	January 15, 2001
December 15, 2000	February 15, 2001

Program descriptions and application kits are available on the NRI homepage at <http://www.reeusda.gov/nri>. Among the important changes described in the "Please Read" section are *New Addresses* for submitting proposals and *deadline* changes.

Proposals submitted under this program are limited to a facilities and administrative cost rate (F&A-indirect costs) of 19 percent of total federal funds requested. This is equivalent to 23.45 percent on total direct costs. EGMS is set up to calculate this rate for you in the Standard Generic Form.

For proposals submitted to programs with a November 15, deadline:

NRI
c/o Proposal Services Unit/
CSREES/USDA
Room 2203 9th Street SW
Washington, DC 20024

For proposals submitted to programs with a December 15, January 15, or February 15 deadline:

NRI
c/o Proposal Services Unit/
CSREES/USDA
First Floor, Waterfront Centre
800 9th Street SW
Washington, DC 20024

Questions regarding NRI document or programs may be directed to NRI at 202.401.5022 or nricgp@reeusda.gov, or contact your SPA grant administrator.

Attention all Clinical Research Professionals

The Academic Health Center is offering a New Course during Spring Semester for Clinical Research Coordinators and other research professionals, entitled:

Clinical Research: Introductory Seminar for Health Professionals

This two credit course may be taken through the Regent's Scholarship program.

Learning Objectives

Students will understand:

- Types and characteristics of clinical research study designs
- Ethical issues in clinical research
- Functions and requirements of the Institutional Review Board (IRB)
- Role of NIH, FDA and industry in clinical research
- Roles and responsibilities of investigators, sponsors, clinical research coordinators and staff
- Organization and implementation of clinical research

For more information please contact the Office of Regulatory Affairs at ora@tc.umn.edu.

Patents Issued

July 2000 – September 2000

1. **Title:** **Production of Amino Acids Using Auxotrophic Mutants of *Bacillus Methanolicus***
Purpose: A method of producing glutamic acid.
Inventors: Richard S. Hanson, Microbiology; Patricia E. Olson, Gray Freshwater Biological Institute; Nuzha M. Al-Tahoe, Ecology, Evolution & Behavior; Michael C. Flickinger, Craig Bremmon, Biological Process Technology Institute; Won Hur, Biological Sciences
2. **Title:** **Vaccine for Swine Infertility and Respiratory Syndrome and Method of Use Thereof**
Purpose: A vaccine and sera for treatment of Mystery Swine Disease, a method for producing the vaccine, methods for diagnosis, a viral agent, and antibodies to the viral agent useful in diagnosis and treatment.
Inventors: James E. Collins, Veterinary Diagnostic Medicine; David A. Benfield, Danny W. Chladek, Louis L. Harris, David E. Gorcyca, non-U
3. **Title:** **Radionuclide Labeling of Vitamin B12 and Coenzymes Thereof**
Purpose: A compound useful for in vivo imaging of organs and tumors.
Inventors: Henricus P.C. Hogenkamp, Biochemistry, Molecular Biology, and Biophysics; Douglas A. Collins, non-U.
4. **Title:** **Cellulose Fiber Based Compositions and Film and the Process for their Manufacture**
Purpose: A process and materials from which highly refined cellulose fibers are broken down into microfibers and further processed into compositions, films, coatings, and solid materials which are biodegradable and even edible.
Inventors: Paul Ling Chen, Rongsheng R. Ruan, Li Xu, Biosystems and Agricultural Engineering; Paul B. Addis, Lun Yi, Food Science and Nutrition
5. **Title:** **Self-Assembling Amphiphiles for Construction of Peptide Secondary Structures**
Purpose: A peptide-amphiphile complex having a lipophilic portion and a peptide portion, wherein the peptide portion has a secondary structure.
Inventors: Gregg B. Fields, Laboratory Medicine and Pathology; Matthew V. Tirrell, Chemical Engineering and Materials Science
6. **Title:** **Sugarcane Bacilliform Virus Promotor**
Purpose: An isolated and purified DNA molecule comprising a sugarcane bacilliform virus promoter and expression cassettes comprising said promoter.
Inventors: Neil E. Olszewski, Iris Tzafir, Plant Biology; Benham E. Lockhart, Plant Pathology; David A. Somers, Kimberly A. Torbert, Agronomy and Plant Genetics
7. **Title:** **Iron Complexes for Bleach Activation and Stereospecific Oxidation**
Purpose: A bleach and oxidation catalyst, comprising a catalytically active iron complex which can activate hydrogen peroxide or peroxy acids, for example.
Inventors: Lawrence Que, Jr., Cheal Kim, Jinheung Kim, Yan Zang, Chemistry
8. **Title:** **Electrospraying Apparatus and Method for Introducing Material into Cells**
Purpose: A method of introducing biological material into cells.
Inventors: David Y.H. Pui, Da-Ren Chen, Mechanical Engineering
9. **Title:** **Production of Glutamate using Wild Type *Bacillus Methanolicus***
Purpose: A method of producing glutamic acid by culturing a biologically pure wild type *Bacillus methanolicus*.
Inventors: Richard S. Hanson, Microbiology; Frederick J. Schendel, Richard L. Dillingham, Biological Process Technology Institute; Konosuke Sano, Kazuhiko Matsui, non-U
10. **Title:** **Polyhydroxyalkanoate Synthesis in Plants**
Purpose: Novel transgenic plants and plant cells capable of biosynthesis of polyhydroxyalkanoate (PHA).
Inventors: Friedrich Srienc, Biological Process Technology Institute; David A. Somers, Arthur C. Eschenlauer, Agronomy and Plant Genetics; John J. Hahn, Chemical Engineering and Materials Science
11. **Title:** **Optical Heating Device for Rapid Thermal Processing (RTP) System**
Purpose: An optical heating device for use in a rapid thermal processing system.
Inventor: Stephen A. Campbell, Electrical and Computer Engineering
- 12-13. **Title:** **Septal Defect Closure Device**
Purpose: Providing a system and a method for closing septal defects and the like.
Inventor: Gladwin S. Das, Medicine
14. **Title:** **Methods and an Acetyl CoA Carboxylase Gene for Conferring Herbicide Tolerance**
Purpose: The complete cDNA sequence of maize acetyl CoA carboxylase and methods for conferring herbicide tolerance and/or altering the oil content of plants.
Inventors: Burle G. Gengenbach, David A. Somers, Donald L. Wyse, John W. Gronwald, Margaret A. Egli, Sheila M. Lutz Prigge, Agronomy and Plant Genetics
15. **Title:** **Catalytic Oxidative Dehydrogenation Process and Catalyst**
Purpose: A process for the production of a mono-olefin from a gaseous paraffinic hydrocarbon.

- Inventors:** Chikafumi Yokoyama, Sameer Bharadwaj, Lanny D. Schmidt, Chemical Engineering and Materials Science
16. **Title:** **Physiological Corrections in Functional Magnetic Resonance Imaging**
Purpose: A functional magnetic resonance imaging method.
Inventors: Xiaoping Hu, Tuong Huu Le, Todd B. Parrish, Peter W. Erhard, Radiology
17. **Title:** **Single-Electron Floating-Gate MOS Memory**
Purpose: Single-Electron MOS Memory (SEMM), in which one bit of information is represented by storing only one electron.
Inventors: Stephen Y. Chou, Lingjie Guo, Effendi Leobandung, Electrical and Computer Engineering
- Title:** **Direct Method for Controlling the Temperature of Microscope Slides**
Purpose: A thermal cycling device for use with self-heating microscope slides.
Inventors: Avram Bar-Cohen, Mechanical Engineering; Martin Blumenfeld, Genetics, Cell Biology, and Development; Peter J. Schiller, Microtechnology Laboratory
- Title:** **Direct Mapping of DNA Chips to Detector Arrays**
Purpose: A device for detecting the pattern of polynucleic acid hybridization to a surface.
Inventors: Martin Blumenfeld, Mark A. Sanders, Genetics, Cell Biology, and Development; Joseph J. Talghader, Electrical and Computer Engineering

Technology Transfer Agreements July 2000 – September 2000

1. **Title:** **High Intensity Ultraviolet Light Source**
Purpose: A high intensity light source constructed from a light emitting diode have a peak emission at blue or violet wavelengths. The improved light sources can be incorporated into analytical instruments.
Inventors: Robert M. Carlson, Anatoly Skirda, Chemistry; Christopher J. Owen, Eugene G. Tokhtuev, Natural Resources Research Institute, all Duluth
Licensee: SOTA TEC Fund
 Research Agreement
2. **Title:** **Maternal Passive Immunization against Myostatin; Increases Skeletal Muscle Growth in Turkeys**
Purpose: To passively immunize turkey poults against myostatin by active immunization of the turkey hen.
Inventors: Mohamed E. El Halawani, Seungkwon You, Animal Science
Licensee: Willmar Poultry Company, Inc.
 Research Agreement
3. **Title:** **Alumina Plate Method and Device for Controlling Temperature**
Purpose: A thermal cycling device comprising a ceramic sample plate, and method of use.
Inventors: Mehmet Arik, Avram Bar-Cohen, Mechanical Engineering; Martin Blumenfeld Genetics, Cell Biology, and Development; Jonathan Chaplin, Biosystems and Agricultural Engineering; Gregory T. Cibuzar, Peter J. Schiller, Microtechnology Laboratory
- Title:** **Silicon Wafer Method for Controlling the Temperature of Microscope Slides**
Purpose: A method for controlling the temperature of microscope slides placed atop a silicon wafer.
Inventors: Martin Blumenfeld, Genetics, Cell Biology, and Development; Peter J. Schiller, Microtechnology Laboratory
- Title:** **Producing a Temperature Gradient on the Surface of a Microscope Slide**
Purpose: Computerized control of heating, cooling, and temperature measurements that can be used to generate temperature gradients with different slopes.
Inventors: Martin Blumenfeld, Brian G. Van Ness, Genetics, Cell Biology, and Development; Gregory T. Cibuzar, Fred Williamson, Microtechnology Laboratory
- Title:** **Apparatus for Generating a Temperature Gradient and Methods for Using the Gradient to Characterize Molecular Interactions**
Purpose: When power is applied, the silicon wafer essentially becomes its own cooling fin, and naturally generates a temperature gradient
Inventors: Martin Blumenfeld, Genetics, Brian G. Van Ness, Cell Biology, and Development; Gregory T. Cibuzar, Mark A. Fisher, Fred Williamson, Microtechnology laboratory
- Title:** **DNA Chip Fluidic Station**
Purpose: A method to extend the power of DNA Chip Technologies
Inventor: Martin Blumenfeld, Genetics, Cell Biology, and Development
Licensee: SOTA TEC Fund Research Agreement
4. **Title:** **Second Generation Porcine Growth and Carcass Quantitative Trait Maps—Commercial Population**
Purpose: A method for generating information to allow producers to identify genetically superior animals in pork production.
Inventors: Rachel J. Hawken, Adam A. Paszek, Lawrence B. Schook, Veterinary Pathobiology
- Title:** **Second Generation of Morcine Microsatellites by Directed and Random Approaches**
Purpose: A second generation method for generating information to allow producers to identify genetically superior animals in pork production.
Inventors: Leeson J. Alexander, Martin Braunschweig,

- Veterinary Pathobiology, Jeremy Murtaugh, non-U
Licensee: AniGeneics, Inc.
 Exclusive License Agreement
5. **Title:** **Mapping Carcass and Meat Traits in Swine**
Purpose: An autosomal scan of the swine genome to identify traits directly related to meat quality.
Inventors: Leeson J. Alexander, Craig W. Beattie, Adam A. Paszek, Lawrence B. Schook, Veterinary Pathobiology; Patricia J. Wilkie, Genetics, Cell Biology, and Development
Licensee: AniGenetics, Inc.
 Non-Exclusive License Agreement
6. **Title:** **Anti-Bacterial Composition**
Purpose: Beginning the study of the pathway by which pheromones signal to induce mating.
Inventors: Barbara A. Bensing, Gary M. Dunny, Bettina A. Leonard, Microbiology
Licensee: Elitra Pharmaceuticals, Inc.
 Materials Transfer Agreement
7. **Title:** **Equation for Near Infrared Reflectance Spectroscopy Measurement of Deoxynivalenol in Barley Grain Samples**
Purpose: A technology that permits rapid and accurate measurement of mycotoxin deoxynivalenol (DON) in barley grain, used for malting and brewing beer.
Inventors: Arthur Killam, Donald C. Rasmusson, Kevin P. Smith, Agronomy and Plant Genetics
Licensee: American Malting Barley Association
 Research Agreement
8. **Title:** **Radionuclide Labeling of Vitamin B12 and Coenzymes Thereof**
Purpose: A compound useful for in vivo imaging of organs and tumors.
Inventors: Henricus P.C. Hogenkamp, Biochemistry, Molecular Biology, and Biophysics Douglas A. Collins, non-U
- Title:** **Cobalamin-Doxorubicin Conjugates Useful as Antitumor Agency**
Purpose: Boron neutron capture therapy (BNCT) is a two component or binary system, which when combined together generate radiation capable of selectively destroying tumor cells.
Inventors: Henricus P.C. Hogenkamp, Biochemistry, Molecular Biology, and Biophysics; Matthew R. Callstrom, Douglas A. Collins, non-U
- Title:** **Cobalamin-Polylysine Conjugates Useful as Imaging and Therapeutic Agents**
Purpose: Unavailable
Inventors: Henricus P.C. Hogenkamp, Biochemistry, Molecular Biology and Biophysics; Douglas A. Collins, non-U
- Title:** **Boron Labeled Vitamin B12 for Neutron Capture Therapy**
Purpose: Unavailable
Inventors: Henricus P.C. Hogenkamp, Biochemistry, Molecular Biology and Biophysics; Douglas A. Collins, non-U
- Title:** **Cobalamin Compounds Useful to Treat Diabetes**
Purpose: Unavailable
Inventors: Henricus P.C. Hogenkamp, Biochemistry, Molecular Biology and Biophysics; Douglas A. Collins, non-U
- Title:** **Cobalamin Compounds Useful as Antibiotic Agents and as Imaging Agents**
Purpose: Providing cobalamin compounds linked to an antibiotic and methods for using the compounds in medical therapy or diagnosis.
Inventors: Henricus P.C. Hogenkamp, Biochemistry, Molecular Biology and Biophysics; Douglas A. Collins, non-U
- Title:** **Cobalamin Compounds Useful as Cardiovascular Agents and as Imaging Agents**
Purpose: Providing cobalamin compounds linked to a cardiovascular agent and methods for using the compounds in medical therapy or diagnosis.
Inventors: Henricus P.C. Hogenkamp, Biochemistry, Molecular Biology and Biophysics; Douglas A. Collins, non-U
Licensee: Copharos, Inc.
 Exclusive License Agreement
9. **Title:** **Apple Tree: Honeycrisp**
Purpose: An apple tree with moderately vigorous growth, a crisp and juicy fruit texture, an extended season of harvest, and good hardiness with little winter injury.
Inventors: David S. Bedford, James J. Luby, Horticultural Science
Licensee: V. Kraus Nurseries, Ltd.
 Non-Exclusive Plant License Agreement
10. **Title:** **Data Visualization Tools for Understanding Water Quality Data**
Purpose: Tools developed specifically to study water quality, allowing users to view static or animated graphics of data from water quality sensors.
Inventors: Richard P. Axler, George E. Host, Norman R. Will, Natural Resources Research Institute, Duluth
Licensee: Apprise Technologies, Inc.
 Exclusive Software License Agreement
11. **Title:** **CHO131: A Sialylated and Fucosylated Core2 Oligosaccharids-Specific IgM Monoclonal Antibody**
Purpose: An IgM isotype monoclonal antibody derived from the spleen cells of an immunized mouse.

- Inventors:** Shelia R. Alexander, Bruce K. Walcheck, Veterinary Pathobiology
Licensee: R&D Systems, Inc. Non-Exclusive License Agreement
12. **Title:** **Temperature-Sensitive Live Vaccine for Mycoplasma Hyopneumoniae**
Purpose: Providing methods of vaccinating swine against infection.
Inventor: Carlos Pijoan, Clinical and Population Sciences
Licensee: Laboratorio Avi-Mex Research Agreement
13. **Title:** **Avian Pneumovirus Diagnostic System**
Purpose: A method for detecting an avian pneumovirus infection
Inventors: Baldev R. Gulati, Veterinary Diagnostic Medicine; Moses K. Njenga, Veterinary Pathobiology; Bruce S. Seal, non-U
Licensee: Minnesota Turkey Research and Promotion Council Research Agreement
14. **Title:** **PBR-C4, Petrowske Purple**
Purpose: A cultivar of American wildrice, selected and improved primarily for resistance to Fungal Brown Spot disease of wildrice.
Inventors: Raymond A. Porter, North Central Research and Outreach Center
Licensee: Minnesota Cultivated Wild Rice Council License Agreement
15. **Title:** **Microsurgical Seed Implanter for Brachytherapeutic Treatment of Prostate Cancer**
Purpose: A new instrument which will greatly enhance the precision, safety, and efficiency of radioactive seed implantation.
Inventors: Ronald C. Mc lennen, Laboratory Medicine and Pathology; Dennis L. Polla, Electrical and Computer Engineering
- Title:** **Means and Method for Modeling and Treating Specific Tissue Structures**
Purpose: Provides an improved system for modeling tissue structure in surgical procedures, e.g., pinpointing the location of tumor during brachytherapy, needle biopsy, etc.
Inventors: Angela K. Drexler, Peter J. Schiller, Microtechnology Laboratory; Ronald C. Mc Glennen, David R. Wulfman, Laboratory Medicine and Pathology
- Title:** **Implantable Radiation Dosimetry Device**
Purpose: A broad utility dose and position verification system based on wireless silicon microchip technology for applications in radiation therapy.
Inventors: Bruce J. Gerbi, Therapeutic Radiology-Radiation Oncology; Ronald C. Mc Glennen, Laboratory Medicine and Pathology; Peter J. Schiller, Microtechnology Laboratory
- Licensee:** Tactile Medical Technologies, LLC Option Agreement
16. **Title:** **Monoclonal Antibodies Against CD-40 and CD-24**
Purpose: Hybridoma clones secreting monoclonal antibodies to CD40
Inventor: Tucker W. Le Bien, Laboratory Medicine and Pathology
Licensee: Neomarkers Non-Exclusive License Agreement
17. **Title:** **Monoclonal Antibodies Reactive with Native and Denatured Cytochrome C from Various Species**
Purpose: B cell hybridomas secreting monoclonal antibodies specific for various forms of cytochrome c
Inventors: Ronald R. Jemmerson, Microbiology
Licensee: Neomarkers Non-Exclusive License Agreement



Equipment Purchase Approvals

(continued from page 6)

- A statement that suitable equipment is not available elsewhere at the University for use on this project.
- Proration of the costs based on usage of the equipment on each project, if you plan to charge the equipment on more than one account.

Rebudgeting:

If rebudgeting is necessary to fund the equipment, determine the need to establish a new equipment object code. Identify from where the funds are to be transferred.

- If you need a new equipment object code, email a request to process an EB to your grant administrator, including amounts and objects.
- If the equipment object code already exists on the account, process an ET to rebudget both the equipment funds and applicable indirect cost.

Change in workscope:

Does the purchase represent a change in workscope? If yes, the sponsor requires prior approval. For federal awards under expanded authorities, a workscope change is any change over 25 percent of the total direct costs (i.e., the cost of each item of equipment exceeding that level).

<u>Date</u>	<u>Title</u>	<u>Meets NIH's Protecting HS Education Requirement</u>	<u>Meets PI U of M Requirements for:</u>	<u>If I Attended Only this Course What Else is Required? *</u>
1994-95	Short Course in the Responsible & Successful Conduct of Research	Yes	Protecting Human Subjects	RCR 2000, Part 1 & 2 and additional topics as applicable
1996	Responsible Conduct of Research	Yes	RCR 2000 Part 1 & Protecting Human Subjects	RCR 2000, Part 2
1997-98	Responsible Management of Research	Yes	RCR 2000 Part 1 & Protecting Human Subjects	RCR 2000, Part 2
1999	Clinical (Drug of Device) Trials Seminar	Yes	Protecting Human Subjects	RCR 2000, Part 1 & 2 and additional topics as applicable
June 1999	Responsible Research & Society's Expectations	No **	RCR 2000 Part 1	RCR 2000, Part 2 and additional topics as applicable *
2000	Responsible Conduct of Research, Part 1	No **	RCR 2000 Part 1	RCR 2000, Part 2 and additional topics as applicable *
2000	Responsible Conduct of Research, Part 2	No **	RCR 2000 Part 2	RCR 2000, Part 1 and additional topics as applicable *

* In addition to Protecting Human Subjects, the RCR curriculum required by the University of Minnesota has two additional topics, Animal Subjects and Environmental Safety and Health. Depending on the nature of the research, one or both of these may also be required.

** Does not contain sufficient information on Protecting Human Subjects.

Questions on NIH Requirements for Education

{continued from page 8}

Adding to the confusion, over the last several years the Academic Health Center and the Office of the Vice President for Research separately and jointly have offered many workshops with essentially the same name but different content. The chart above attempts to display how the topics and instructional opportunities the University offered over the last several years meet the NIH or U of M requirements.

Please forward additional questions to Peggy Sundermeyer at sunde005@umn.edu, 612.624.7850 or to the editor of the *Research Review*. We will try to answer additional questions in future issues.

More Information

To generate copies of NIH and NSF application forms, please go to EGMS at <http://nirvana.ospa.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>, or to NSF at <http://www.nsf.gov/pubs/2000/nsf002/start.htm> (For help, call the EGMS help line at 612.624.1600.)

For funding searches

Please contact the Office of the Vice President for Research
612.625.7585; facgrant@gold.tc.umn.edu
<http://www.research.umn.edu/research.html>.

Alcoholic Beverage Medical Research Foundation

Supports innovative research on the use, and prevention or misuse, of alcoholic beverages. Funding is provided for interdisciplinary research in the biological, medical, epidemiological, behavioral, and social sciences. The next deadlines are February 1, and September 1, 2001. Go to <http://www.abmrf.org/grants.html>. Individual programs are:

- * Research Project Grant
- * New Scientist Awards
- * Project Supplement Grants
- * Data Analysis Grants
- * Pilot/Preliminary Studies

3M Foundation

* Contributions Program

Grants in education programs focusing on mathematics, science, and economics; health and human services initiatives focusing on strengthening families and youth development through parenting and prevention programs; arts and culture programs focusing on integrating arts into educational curricula and programs recognizing cultural diversity as a community asset; and civic and community programs. There is no deadline. Go to <http://www.mmm.com/profile/community/index.html>.

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Morris, Grants Development , http://www.mrs.umn.edu/services/grants		
Director	Tom Mahoney ..	320.589.6462 mahoney@tc.umn.edu
related numbers		
Sponsored Financial Reporting , fax: 612.626.0321; web: http://www.sfr.umn.edu		
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Supervisor, NIH, USDE	Pat Healy	624.7033 healy003@tc.umn.edu
Supervisor, NSF, other federal grants and contracts	Susan Harris	624.7850 harri140@tc.umn.edu

Instructions on Changing Addresses

SPA cannot change the faculty mailing list. It is a list we *buy* monthly.

(Faculty mailing labels are those with a string of seven numbers printed above the addressee's name.)

This list is generated by Human Resources and changed in your department.

For faculty-list changes, please call your departmental payroll or Human Resources coordinator.

For changes regarding *other* labels (no numbers above the name), please complete the following:

Change Name: _____
Add Department: _____
Delete Building & Room No.: _____
Mail Delivery Code (if on campus): _____
City, State, Zip (if off campus): _____

Send changes to:
Danielle Billington
Sponsored Projects Administration
450 Gateway Building
200 Oak Street
Minneapolis, MN 55455



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Research Review



Sponsored Projects Administration
 Patents and Technology Marketing
 Oversight Analysis and Reporting

December 2000

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<http://www.ospa.umn.edu/resrev.htm>

Administration and Conduct of Sponsored Work

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Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of the month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, erick210@tc.umn.edu.

Certified Approver Program Fully Operational by January 1, 2001

Congratulations!

The University will reach a major milestone in the new Sponsored Projects Management model when it implements the Certified Approver Program (CAP) university-wide starting January 1, 2001. This program, coordinated by the Office of Oversight, Analysis, and Reporting (OAR) in conjunction with the Associate Deans for Research, has been in a phase-in process over the past year.

"We are extremely pleased by the number of staff who passed the requirements to become certified approvers and we are encouraged that there are many others actively working to be nominated for this role. They should all be commended for accepting the responsibility that goes with this new position and for helping the new sponsored projects model move forward," said Winifred A. Schumi, director of OAR.

What does this mean?

Certified approvers at the department and college level will now approve most expenditure transactions over \$1,000 on sponsored projects. Departments and colleges will no longer need to route expenditure transactions to Sponsored Projects Administration (SPA) for approval. This gives departments and colleges greater control, authority, and flexibility over all aspects of post-award financial transactions on sponsored accounts.

See the CAP web site at <http://www.oar.umn.edu/CA/docrouting.htm> for the list of document and approval requirements.

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Sponsored Projects Administration University Names New Associate Director

Sponsored Projects Administration (SPA) has announced that Sheryl Goldberg will become the new associate director. Goldberg's major responsibilities will be the day-to-day operations of SPA and the continued implementation of the new Grants Management Model in SPA.

Goldberg comes to the University from the University of Arkansas where she was the director of Research Administration for Medical Sciences.

The *Research Review* will have more information about the new appointment in future issues.

RESEARCH REVIEW

Volume XXX, Number 6

December 2000

Editor: Bruce Erickson

Editorial Assistant: Tove Jespersen

Associate Vice President: Ed Wink

Research Review is a monthly publication of the Office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 450 Gateway Building, 200 Oak Street SE, Minneapolis, MN 55455-2070, or call Bruce Erickson, 612.625.2354, erick210@tc.umn.edu, or Tove Jespersen 612.624.0061, tove@tc.umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New rates effective July 2000

TA, RA, AF: standard of gross salary	\$5.28/hr	+	9.8%
TA, RA, AF: advanced master's or Ph.D.	\$.88/hr	+	9.8%
Summer session semester TA, RA, AF	—		9.8%
Summer session TA, with tuition	\$12.51/hr	+	9.8%
Summer session TA, without tuition	—		9.8%
Professional program assistant	—		9.8%
Dental fellow *	\$3.35/hr		—
Medical fellow *	\$2.64/hr		—

To the rates listed above, add 7.7% to the 9.8% when a graduate student is enrolled for fewer than 3 credits, or less than 1 credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. This is a change from previous years.

For more information about GA job classes and fringe rates, contact George Green, associate dean of the Graduate School 612.625.7368, green007@tc.umn.edu.

Other Job Classes

	Civil Service	Academic	Post-doc class #9546	Graduate Assistant
7/1/99 - 6/30/00	24.4%	27.6%	14.2%	15.3%
7/1/00 - 6/30/01	27.7%	27.5%	15.4%	17.5%
7/1/01 - 6/30/02	30.3%	31.1%	17.7%	21.1%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009. Complete details of fringe benefit rates for all classes of UM employees are available at http://process.umn.edu/groups/ppd/documents/rates/fringe2000_01.cfm.

Rate changes will be reflected in this section.

Facilities & Administrative (F&A) (Indirect Cost) Rates

The rates listed at right come from the University's most recent F&A/indirect cost agreement, dated **December 16, 1999**. This date should be used where required on applications.

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration at 612.624.5599. If you have questions on F&A/indirect cost rate development, please call Steve Bradley, 612.626.9895.

* A project is considered off-campus if more than 50 percent of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University.

Research (MTDC base)

On-campus	48.00%	FY 2000
	48.50%	FY 2001-03
Off-campus*	26.00%	FY 2000-03

SAFL on-campus	59.00%	FY 2000-03
SAFL off-campus*	26.00%	FY 2000-03
Hormel on-campus	50.00%	FY 2000-03
Hormel off-campus*	26.00%	FY 2000-03

Other Sponsored Activity (MTDC base)

On-campus	32.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

Instruction (MTDC base)

On-campus	52.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

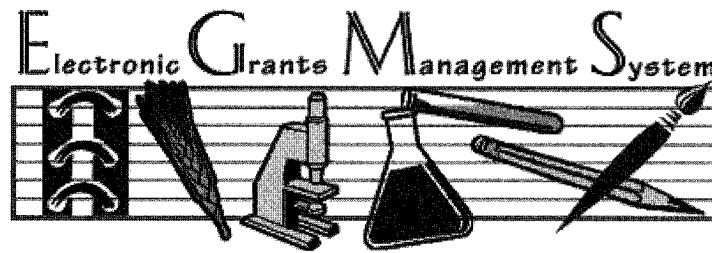
The entire agreement may be found at http://www.fpd.finop.umn.edu/groups/ppd/documents/rates/f_and_a_rates.cfm.

MTDC (Modified Total Direct Cost):

Total direct cost minus:

- graduate student fringe benefits
- equipment
- capital expenditures, e.g., new building construction
- charges for patient care
- tuition remission
- rental costs of off-site facilities
- scholarships and fellowships
- the portion of each subgrant and sub-contract in excess of \$25,000 per project period

For more information on equipment and subgrants and subcontracts in excess of \$25,000, see the April 1999 *Research Review*, or go to <http://www.ospa.umn.edu/resrev.htm>.



When Can the Generic Proposal Option Be Used?

EGMS Generic proposals are compatible with many, but not all, sponsors

When starting an EGMS proposal, a user can designate the proposal's prime funding source to be 'Generic.' The Generic option provides data-entry screens allowing an EGMS user to prepare a proposal for sponsors other than the National Institutes of Health (NIH), National Science Foundation (NSF), and Minnesota Department of Transportation (MnDOT). A Generic EGMS proposal allows users to take advantage of the system's automated budget calculation and sponsor form preparation features. However, the Generic option cannot be used for *all* other sponsors, because EGMS does not include options for all of the indirect cost calculation methods required by different sponsors. This article lists instances in which the Generic option can and cannot be used and concludes with recommendations about the Generic option.

How to use the Generic option

Faculty and staff can use an EGMS Generic proposal to prepare the typical proposal components: the budget, key personnel section, biosketches, resources listing, and assurances information. EGMS provides a separate Sponsor subsection (in the Project Information section) for the user to indicate for whom the proposal is being prepared. An EGMS Generic proposal uses a standardized form that cannot be customized for the sponsor. As some sponsors require that their specific forms be used for an application, in many cases faculty and staff use EGMS to calculate the proposal budget and then transfer the budget information to the appropriate sponsor forms.

Faculty and staff can use EGMS to prepare the entire proposal budget in much the same way as they would for NIH, NSF, or MnDOT: by setting inflation and indirect cost rates on the Budget Information subsection screen and then entering budget details in the remaining subsections (such as Personnel and Travel) of the Budget section. The EGMS Generic option can accommodate a sponsor if the sponsor requests that indirect costs are to be calculated on a total direct cost base or on a modified total direct cost base (MTDC; where the modified total direct cost base is defined exactly as on page two of the *Research Review*). Users indicate on the Budget Information subsection screen the percent indirect cost rate to apply to the direct cost base, and whether to apply the rate to a total direct cost base or to an MTDC base.

When the EGMS Generic option cannot be used

The EGMS Generic option cannot accommodate budgets where the sponsor specifies exclusion of particular budget items (in any combination other than the standard one described on page two of the *Research Review*) from the indirect cost calculations. As an example, the US Department of Education requires applicants to calculate indirect costs using a rate of eight percent, applied to total direct costs after excluding the costs of stipends, tuition and related fees, and equipment. In this case, the total direct cost base to which the indirect rate is applied must be uniquely modified prior to the application of the indirect cost rate; EGMS cannot accommodate this type of unique modification.

In these types of instances, many users have still found it helpful to use EGMS as a calculator, specifying an inflation rate and then using EGMS to accurately calculate the total direct costs only. These users then take these direct costs and do the indirect cost calculations manually, excluding the appropriate categories of budget items from the base.

The EGMS development team is analyzing the programming needed to accommodate sponsors that require exclusion of particular budget items from indirect cost calculations. If such programming is possible, additional flexibility for indirect cost calculations in Generic proposals will be included in a future version of EGMS.

Recommendations

Faculty and staff who want to use the EGMS Generic option to calculate the proposal budget may want to consider using the EGMS Budget Only option. A Budget Only proposal allows the face page, the budget page, and the budget detail pages to be prepared in EGMS. EGMS Budget Only proposals still necessitate that all of the other sponsor-required forms (such as biosketch pages) be completed outside of EGMS and then collated with the EGMS-generated pages.

Faculty and staff with additional questions about whether the EGMS Generic option will work for a particular sponsor or in a particular format can contact the EGMS business helpline at 612.624.1033. If necessary, the helpline staff will refer calls to the appropriate grant administrator.

National Institutes of Health Requirements and Revisions to University Effort Policy

As part of their review of the University's sponsored projects process, NIH identified seven critical revisions and required several changes in effort certification. During September 2000, SPA staff revised the Effort Policy to implement the NIH mandates including:

- Recommending that employees working in multiple departments sign their own effort statements; however, if this is not possible, responsible supervisors must verify the applicable statements and provide multiple signatures on such statements;
- Requiring changes to the effort statement percent column to include the date and initials of the signer next to the final authorized changes; to facilitate this change in process, SPA staff revised the statement format to include new "initials" and "date" columns;
- Clarifying that "white-out" or erasure-type changes to statements are not acceptable for audit trail purposes; rather, any changes must be done by lining out data on the statements and then writing changes beside lined out data.

SPA staff appreciate your cooperation in implementing these NIH requirements to the effort certification process. Compliance with these changes will help move the University off the current NIH conditional exceptional status.

The full Effort Policy is accessible at http://www.fpd.finop.umn.edu/groups/ppd/documents/policy/Effort_Certification.cfm. If you have questions, contact Don Hammer, hamme008@tc.umn.edu, 612.624.8044; or Steve Bradley, bradl011@tc.umn.edu, 612.626.9895.

Attention all Clinical Research Professionals

The Academic Health Center is offering a
New Course during Spring Semester
for Clinical Research Coordinators
and other research professionals, entitled:

Clinical Research: Introductory Seminar for Health Professionals

This two credit course may be taken through the
Regent's Scholarship program.

Learning Objectives

Students will understand:

- Types and characteristics of clinical research study designs
- Ethical issues in clinical research
- Functions and requirements of the Institutional Review Board (IRB)
- Role of NIH, FDA and industry in clinical research
- Roles and responsibilities of investigators, sponsors, clinical research coordinators and staff
- Organization and implementation of clinical research

For more information please contact the
Office of Regulatory Affairs at ora@tc.umn.edu.

Principal Investigators Sponsored Financial Web Report Update

Personnel expense detail changes to the Personnel Expense Detail Report are now complete and the report is again available for use on the web. For those new to the report, the report lists all personnel paid from a sponsored project.

The report continues to be a link from the Agency-Specific Expense Summary Report. To get to this report:

1. Go to the Financial Reports web page at <http://financial.reports.umn.edu/>.
2. Click on either the PI Reports button or Sponsored button.
3. Select the Agency-Specific Expense Categories Summary by Budget Period Report.

Newly-enhanced functionality allows the report to handle PeopleSoft payroll information, specifically draw down encumbrances. If your account uses a draw down encumbrance, a link labeled draw down encumbrance detail will show up at the bottom of the report. The link will take you to a report showing you the detail of your draw down encumbrance amounts. OAR and FSS staff want to thank users for their patience while they were making the necessary changes to the report. If you have any questions, call the Financial Systems Support helpline at 612.624.1617.



What's New in FastLane as of October 2, 2000

FastLane is implementing a variety of new features and functions. The most significant changes include:

1. New award supplement preparation and submission module. (This module replaces using the other/request module of notification and requests.)
2. Award letters available online to the Sponsored Research Office (SRO) and PIs
3. New revised proposal budget module
4. Faster award search with download capability
5. Separation of standard merit review criteria in FastLane review applications
6. Reviews, panel summaries, context statements and site visit reports available to PIs and Co-PIs through proposal status inquiry after final NSF action for NSF programs participating in this process. (More programs will participate as the year continues.)
7. New GPRA facilities project reporting module
8. New capabilities for Electronic Data Interchange (EDI) proposal submissions
9. Conflict of interest changes implemented in the interactive panel system
10. Changes for the new Grant Proposal Guide (GPG) (including a cover page check box for necessary color). See <http://www.fastlane.nsf.gov/a1/newstan.htm#color>.

The EGMS development team continues to work on upgrading the software to allow proposal information prepared in EGMS to be fed to FastLane.

NSF also enhanced the proposal submission system. PIs can now provide the following access to their proposal:

- Allowing the SRO or its equivalent to view the proposal, but not submit
- Allowing the SRO to view and edit but not submit proposal
- Allowing the SRO to view, edit, and submit the proposal
- Remove all the SRO access to the proposal.
- As always, only the SRO can submit the proposal to NSF.



Revisions and Supplements Must Now Be Submitted Via FastLane

Under the new policy listed in Chapter III, Section C of the Grant Proposal Guide, revised budgets must be submitted via FastLane. FastLane staff are still tweaking this process and are beginning to communicate new procedures, and the updates to these procedures, to their staff, including program managers and grants officers.

Signed revised budgets no longer need to be sent to NSF. If your pro-

Accessing Proposal Preparation for New FastLane Users

To access proposal preparation as a Principal Investigator (PI) or Co-PI, you have to be known to NSF as a PI.

PIs and Co-PIs who have never submitted a proposal to NSF cannot use the FastLane proposal preparation application until their information is added to the NSF PI database. To have this done, contact Kara Meissner in Sponsored Project Administration and request an NSF FastLane password (preferably by e-mailing meiss006@tc.umn.edu). Information that is needed to obtain a password includes your first and last name with middle initial, Social Security number (SSN), department name, degree and year degree was received, business phone, and fax number.

Note: After being entered on the cover sheet, the Co-PI can access the proposal by entering his or her last name, SSN, and password.

gram manager at NSF requests signed copies, please call your grant administrator for assistance.

Supplemental requests still require signed budget pages to be sent in addition to being submitted via FastLane. NSF anticipates that the process will be totally electronic within the next six months.

Administrative Fees for Visa Processing

Recently, SPA staff received questions about whether departments could charge administrative visa processing fees for foreign individuals to sponsored projects.

Historically, a centrally funded organization at the University processed visa requests involving foreign individuals. In July 2000, the University created a new internal service organization, International Student & Scholar Services (ISSS), to perform this function. As a cost control measure, the ISSS now charges colleges and departments for its services.

SPA staff reviewed federal regulations as well as University policy and determined that it is inappropriate to charge such administrative fees directly to federal sponsored agreements for the following reasons:

- OMB Circular A-21, *Cost Principles for Educational Institutions*, mandates that these type costs be treated as facilities and administrative (F&A), or indirect, type costs;
- Federal Cost Accounting Standards (CAS) require consistent treatment of similar type costs as only direct costs or only indirect costs; since most ISSS charges involve students working on nonsponsored activities, it would be inconsistent to charge other expenses of this same type directly to sponsored accounts;
- In the most recent University F&A Rate Agreement negotiated with the federal government, all of these type costs were treated as indirect costs; and, therefore, it would be improper to now begin directly charging these costs to grants.

Please note that University staff requiring a visa for foreign travel on sponsored projects may directly charge the administrative visa processing fees (i.e., USAID) if the sponsor approved such fees in the project proposal.

ISSS staff advised SPA that the overwhelming majority of such cases involve students, who would not be working on sponsored accounts. Most importantly, compliance with federal regulations is necessary to protect the University against potential cost disallowance for these administrative fees.

Certified Approver Examination Schedule

on the web at <http://www.oar.umn.edu/CA/schedule.htm>

December 2000 – June 2001

Preregistration Required

Please call 612.625.9057 with questions about the Certified Approver Program

Locations are subject to change

<u>Date</u>	<u>Day</u>	<u>Part</u>	<u>Start</u>	<u>Location</u>
December				
5	Tuesday	2	8:00 a.m. only	9 Eddy Hall
13	Wednesday	1	8:30, 10:15, 1:00	140 Nolte
19	Tuesday	2	8:00 a.m. only	9 Eddy Hall
January				
8	Monday	2	9:00, 1:00	9 Eddy Hall
25	Thursday	1	8:30, 10:15, 1:15	9 Eddy Hall
February				
12	Monday	2	1:00 p.m. only	9 Eddy Hall
22	Thursday	1	9:00 a.m. only	9 Eddy Hall
March				
12	Monday	2	1:00 p.m. only	9 Eddy Hall
22	Thursday	1	9:00 a.m. only	9 Eddy Hall
April				
9	Monday	2	1:00 p.m. only	9 Eddy Hall
26	Thursday	1	9:00 a.m. only	9 Eddy Hall
May				
14	Monday	2	1:00 p.m. only	9 Eddy Hall
24	Thursday	1	9:00 a.m. only	9 Eddy Hall
June				
4	Monday	2	1:00 p.m. only	9 Eddy Hall
21	Thursday	1	9:00 a.m. only	9 Eddy Hall

What's New in Grants Management

An index to Changes and Announcements

December 2000

(month 6 of UM fiscal 2001)

SPA Update 0107:

Notice Issued:

Supersedes:

Effective Date:

Change:

Action to Take:

Requirements and Revisions to University Effort Policy

Immediately

Immediately

Seven critical revisions, and several required changes in effort policy.

See article in December *Research Review*, page four,

NARSAD Independent Investigator Award

The National Alliance for Research on Schizophrenia and Depression (NARSAD), a private, not-for-profit organization, raises and distributes funds for scientific research into the causes, cures, treatments, and prevention of severe neurobiological disorders. Awards up to \$50,000 a year for two years (maximum \$100,000) are provided to enable the scientist at the academic level of associate professor or equivalent, who has won national competitive support as a principal investigator, to facilitate innovative research opportunities. Research must be relevant to schizophrenia, major affective disorders or other serious mental illnesses including research with bipolar disease, borderline disorders with depression or suicide, or research with children.

Solicitations will be mailed on January 5, 2001. Guidelines and accompanying face sheet are available for download on the same date at: www.narsad.org. Application submission deadline is March 5, 2001. Contact Information:

Audra Moran, Director
Research Grants Program
NARSAD
60 Cutter Mill Road, Suite 404
Great Neck, NY 11021
516.829.5576 (phone)
516.487.6930 (fax)
amoran@narsad.org

Clarification to November *Research Review* Article on Equipment Purchase Approvals

Sponsored Projects Administration received questions about the Change in Workscope section of the November article on *Equipment Purchase Approvals*. SPA, therefore, would like to change the wording of that section to:

Does the purchase represent a change in workscope? If yes, please contact your grant administrator, since the change may require agency review and approval. If the rebudgeting required for equipment exceeds 25 percent of the total direct cost award amount, it could imply a change in workscope. Please contact your grant administrator if you have questions.

Reminder Payroll Transition from Legacy to PeopleSoft

As a reminder, because of the shutdown of the legacy payroll system, functionality of the Type 38 Journal Voucher will end on December 15, 2000. Departments must use Type 38 vouchers to debit or credit sponsored accounts for payroll charges incurred in the legacy payroll system.

Although other communications from various University groups may have reported deadlines other than December 15, please be aware that the absolute deadline for processing Type 38 Journal Vouchers is December 15, 2000. The

University will not allow further transactions affecting the legacy payroll system on sponsored accounts after the deadline.

Disbursement Services will accept paper documents through the end of business on Friday, December 15. FFN documents will be accepted through 5:00 p.m. on December 15 as well. Central units will use the week following the deadline to clean-up, and to ensure that all documents submitted by the deadline make it through the legacy payroll system and into CUFS. Please contact the FSS (CUFS) Help Line at 612.624.1617 for assistance.



The staff of Sponsored Projects Administration, Patents and Technology Marketing, Sponsored Financial Reporting, and the Office of Oversight, Analysis and Reporting wish you a



Happy Holiday Season

and a
Successful and productive

New Year



Certified Approver continued from page 1

Starting January 1, 2001, documents staff prepare in Financial FormsNirvana will automatically route to the certified approver in the appropriate unit. OAR has asked all departments and colleges to identify these individuals. If it is necessary to prepare a paper document requiring certified approver review and approval, send the document to the appropriate individual prior to processing through the central data entry unit.

SPA and OAR staff, as well as collegiate certified approvers are always available to provide guidance and assistance to local certified approvers to help them fulfill their responsibilities in this area.

Units without the volume of sponsored activity to warrant having a certified approver may use the Internal Service Organization (ISO) established within the Office of Vice President for Research. This service will be provided for a fee. Details on how that operation will function have been distributed. Additional copies are available from the OAR office.

Please direct questions about CAP or its implementation to the Office of Oversight Analysis and Reporting at 612.625.9057.



Congress Approves Large Increases in Spending on Science

Military, space, and energy research fare particularly well

From the Chronicle of Higher Education November 10, 2000

Although Congress has approved big spending increases for biomedical research in the past three years, lawmakers have been less interested in other areas, such as space studies and the physical sciences. This year, however, legislators and President Clinton have managed to find common ground to craft a federal budget that scientists from virtually every discipline can cheer.

For starters, legislators offered big spending increases for the National Science Foundation, and for military, space, and energy research programs, and the president approved those increases late last month. Congress has also authorized another substantial increase for the National Institutes of Health, as lawmakers continue a five-year plan, started in 1998, to double its budget by 2003.

The N.S.F. received its largest dollar increase ever, while the National Aeronautics and Space Administration received more money for the first time in seven years.

"Across the board, it's been a very good year for research," said George Leventhal, a legislative analyst with the Association of American Universities.

Mr. Leventhal speculates that the larger-than-expected budget surplus probably prompted Congress to spend more money. In addition, with control of the House, Senate, and White House all at stake on Election Day, lawmakers from both parties wanted to generate as much goodwill as possible, he said. And President Clinton was probably interested in

cementing his legacy as an advocate for basic science, added Mr. Leventhal.

While most of the news in the budget was positive for colleges, there were a few disappointments. The Department of Agriculture's competitive grants program will see a reduction of funds in 2001. And the number of earmarks in the federal budget appears to be rising.

Earmarks are appropriated by lawmakers for specific projects rather than for programs awarding grants through open competition, an annual ritual that seems increasingly pervasive this year.

NASA's budget for 2001, for instance, reportedly contained more than \$250-million in site-specific earmarks, compared with \$140-million last year. Many of those earmarks are directed at universities. The A.A.U. finds the rise in earmarks "troubling," Mr. Leventhal said.

Still, most college and research lobbyists have few complaints with the budgets for science programs. They predicted that lawmakers will likely continue to invest heavily in campus-based studies as long as the economy remains strong.

"There's been growing recognition and appreciation of the importance of research," said Howard H. Garrison, director of public affairs for the Federation of American Societies for Experimental Biology, an advocacy group of 65,000 life scientists. "We're entering the 21st century on a strong scientific foundation."

More Information

To generate copies of NIH application forms, please go to EGMS at <http://nirvana.ospa.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>. NSF program information is at <http://www.nsf.gov/pubs/2000/nsf002/start.htm>. NSF requires FastLane submission at <http://www.fastlane.nsf.gov>.
(For help, call the EGMS help line at 612.624.1600.)

For funding searches

Please contact the Office of the Vice President for Research
612.625.7585; facgrant@gold.tc.umn.edu
<http://www.research.umn.edu/research.html>.

U.S. Department of Agriculture*** Distance Learning and Telemedicine Loans and Grants**

To fund distance learning and telemedicine projects serving rural areas.

The application deadline for grant applications is March 2, 2001. Applications for loans or combination grants and loans may be submitted up to **September 30, 2001**. Go to <http://www.usda.gov/rus/telecom/dlt/dltpublications.htm>.

Energy Foundation*** Grants**

The Foundation awards grants and takes direct initiatives in five areas: utilities, buildings, transportation, renewable energy, and integrated issues.

Proposals are accepted on a **continuous basis**; however, applicants are encouraged to submit proposals at least 12 weeks prior to board meetings the first week of March, the last week of June, and the first week of November. Go to <http://www.ef.org/applications/index.html>.

Ittleson Foundation*** AIDS Grants**

The Foundation has three program areas: mental health, AIDS, and the environment. In the AIDS program area, the Foundation is particularly interested in new model, pilot, and demonstration efforts.

Application deadlines for the coming year are **April 1** and **September 1, 2001**. Go to <http://www.IttlesonFoundation.org/aids.html>.

Robert Wood Johnson Foundation*** Changes in Health Care Financing and Organization**

For research, demonstration, and evaluation projects examining major changes in health care financing with implications for current public policy issues. Intended to stimulate projects that

Environmental Protection Agency*** Ecology and Oceanography of Harmful Algal Blooms**

For research and outreach activities on algal species that may cause harm to ecosystems and human health. Studies should investigate the causes of such blooms and their detection, effects, mitigation, and control in U.S. coastal waters.

The application deadline is **January 31, 2001**. Go to <http://es.epa.gov/ncerqa/rfa/ecohab01.html>.

*** Statistical Survey Design and Analysis for Aquatic Resources**

To identify and perform research in survey methods and spatial and temporal modeling incorporating hierarchical design that will advance application of statistics to environmental sciences.

The deadline is **March 1, 2001**. Go to <http://es.epa.gov/ncerqa/rfa/aquastat01.html>.

*** Ecological Indicators for Gulf of Mexico Estuaries**

Applications to establish an integrated estuarine research program for the Gulf of Mexico region.

The application deadline is **March 8, 2001**. Go to <http://es.epa.gov/ncerqa/rfa/eagle01.html>.

*** Environmental Statistics Center**

A recompetition to continue a national research center in environmental statistics.

The application deadline is **March 21, 2001**. Go to <http://es.epa.gov/ncerqa/rfa/envistat01.html>.

*** Children's Vulnerability to Toxic Substances**

For research to identify specific pollutant chemicals, pollutant sources, environmental media, and exposure pathways that adversely affect children and to develop methods for quantifying or assessing exposures to children.

The application deadline is **February 28, 2001**. Go to <http://es.epa.gov/ncerqa/rfa/childvu01.html>.

*** Aggregate Exposure Assessment for Pesticides: Longitudinal Studies**

For studies to assess aggregate pesticide exposures in defined populations aimed at addressing important public health issues. These issues may concern the toxicity of a particular chemical or class of chemicals, and/or may relate to a health endpoint and its potential link to pesticide exposures.

The application deadline is **March 7, 2001**. Go to <http://es.epa.gov/ncerqa>.

1) examine the effects of current mechanisms for-and proposed major changes in-the financing of health services on health care costs, access, and quality; and 2) develop and test new ways to finance care that have the potential to improve access to more affordable health services.

Letters of intent are accepted on a **continuous basis**; full proposals will be invited. Go to <http://www.rwjf.org/grant/cfp-hcf98.htm>.

Donald W. Reynolds Foundation

*Grants

The foundation supports art museums, children and youth, higher education, and medical research. Grants are made for cardiovascular clinical research; aging and quality of life, capital grants program; and, community services center program. Grants range from \$10,000 to \$10 million.

Deadlines vary by program. Go to <http://www.dwreynolds.org>.

Sigma Delta Epsilon

* Agnes Hansen and Mary Haga Memorial Awards

Awards are given to defray some of the costs that female graduate students incur while traveling to national or other major scientific meetings where they are presenting the results of their research. Any female graduate student in Minnesota engaged in scientific research is eligible to apply. Preference will be given to active members of XI Chapter.

The next deadline is **February 12, 2001** for the Agnes Hansen Award and **May 14, 2001** for the Mary Haga Award. Call 612.624.6062 for further information.

National Science Foundation

* Instrumentation for Materials Research (IMR) NSF-01-05

The IMR Program supports the acquisition or development of research instruments to: 1) discover fundamental phenomena in materials; 2) synthesize process or characterize the composition, structure, properties, and performance of materials; and 3) improve the quality, expand the scope, and foster integration of research and education in research-intensive environments. Cost sharing is required at 30 percent of instrument acquisition cost.

Full proposals are due **January 25, 2001**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0105>.

* Gender Equity in Science, Mathematics, Engineering, and Technology (PGE) NSF-01-6

The program seeks to broaden the participation of girls and young women in all fields of science, mathematics, engineering, and technology by supporting research, demonstration, and dissemination projects that will lead to change in education policy and practice.

The deadline for elementary and middle school, information education is **January 30, 2001**; and, **March 30, 2001** for high school, undergraduate, teacher and faculty development, and educational technologies. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf016>.

* Major Research Instrumentation (MRI) Program NSF 0-17

To increase access to scientific and engineering equipment for research and research training by assisting in the acquisition or development of major research instrumentation. Proposals may be for a single instrument, a large system of instruments, or multiple instruments that share a common or specific research focus.

The application deadline is **February 7, 2001**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf017>.

American Federation for Aging Research

* Medical Student Geriatric Scholars

An eight-to-twelve week opportunity in clinical geriatrics and aging research at one of four national training centers or at their (limited) own institution. (Does not include Minnesota). The application deadline is **February 7, 2001**.

* Scholarships for Research in the Biology of Aging

To enable Ph.D. and medical students at any level to undertake a three-month research project on any subject related to the basic sciences and aging. The application deadline is **February 26, 2001**.

* Research Scholarships in Geriatric Pharmacology

To offer medical and Pharm.D. students an opportunity to explore the field of geriatric pharmacology and acquire an understanding of its challenges. The application deadline is **January 22, 2001**.

For all of the above, go to <http://www.afar.org>.

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Indirect cost and other rate development	Steve Bradley	625.8350 guron001@tc.umn.edu
Effort help line	612.625.7824	bradl011@tc.umn.edu
Information Services		
MIS coordinator; <i>Levels & Trends</i> , proposal & award data	Mary Bendtsen	624.0583 mbendtse@tc.umn.edu
Duluth, Office of Research & Technology Transfer		
Sr. grant and contract administrator	Jim Loukes	218.726.7583 jloukes@ub.d.umn.edu
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Morris, Grants Development, http://www.mrs.umn.edu/services/grants		
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related numbers		
Sponsored Financial Reporting, fax: 612.626.0321; web: http://www.sfr.umn.edu		
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Instructions on Changing Addresses

SPA cannot change the faculty mailing list. It is a list we *buy* monthly.

(Faculty mailing labels are those with a string of seven numbers printed above the addressee's name.)

This list is generated by Human Resources and changed in your department.

For faculty-list changes, please call your departmental payroll or Human Resources coordinator.

For changes regarding *other* labels (no numbers above the name), please complete the following:

Change Name: _____
Add Department: _____
Delete Building & Room No.: _____
Mail Delivery Code (if on campus): _____
City, State, Zip (if off campus): _____

Send changes to: Danielle Billington
Sponsored Projects Administration
450 Gateway Building
200 Oak Street
Minneapolis, MN 55455



Made with agribased inks and at least 10 percent post-consumer waste.

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Research Review



Sponsored Projects Administration
 Patents and Technology Marketing
 Oversight Analysis and Reporting

January 2001

Volume XXX, Number 7
<http://www.ospa.umn.edu/resrev.htm>

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Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of the month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, erick210@tc.umn.edu.

Attention Principal Investigators Starting March 19, the Regents Policy on Educational Requirements for PI Eligibility Becomes Effective

Beginning March 19, 2001, the Sponsored Projects Administration (SPA) will no longer set-up awards or account numbers for principal investigators (PI) who have not completed an educational program on the responsible conduct of research required by the Board of Regents Policy, *Principal Investigator Eligibility on Sponsored Projects* (<http://www1.umn.edu/regents/policies/academic/PrincipalInvestigator.pdf>). PIs who do not meet the requirements will be able to submit proposals but will need to complete an appropriate educational program before they can receive funds for expenditure.

The Board of Regents passed the eligibility policy in November 1999. Earlier articles and announcements detailed the policy and the educational program for PIs to comply with the new policy. Please refer to Research Review articles in the following monthly issues for more information:

November 1999	January 2000
February 2000	February 2000 Special Issue
May 2000	June 2000
September 2000	November 2000

The chart on page 14 of the November 2000 Research Review gives more information on the various educational programs and the requirements each program meets.

A schedule of future trainings, educational programs, and other instructional materials meeting the requirements is on the web at <http://www.research.umn.edu/training>. The training requirements are available on the same site.

The web site listed in the previous paragraph links to a database with the names of PIs and the workshops or programs they have attended or are registered to attend that meet the training requirements.

Please contact Peggy Sundermeyer at rschtrng@umn.edu, or 612.626.7850, if you have questions or if you would like a brochure titled “New Educational Requirement for All Principal Investigators”.

RESEARCH REVIEW

Volume XXX, Number 7

January 2001

Editor: Bruce Erickson

Editorial Assistant: Tove Jespersen

Associate Vice President: Ed Wink

Research Review is a monthly publication of the Office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 450 Gateway Building, 200 Oak Street SE, Minneapolis, MN 55455-2070, or call Bruce Erickson, 612.625.2354, erick210@tc.umn.edu, or Tove Jespersen 612.624.0061, tove@tc.umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New rates effective July 2000

TA, RA, AF: standard of gross salary	\$5.28/hr	+	9.8%
TA, RA, AF: advanced master's or Ph.D.	\$.88/hr	+	9.8%
Summer session semester TA, RA, AF	—		9.8%
Summer session TA, with tuition	\$12.51/hr	+	9.8%
Summer session TA, without tuition	—		9.8%
Professional program assistant	—		9.8%
Dental fellow *	\$3.35/hr		—
Medical fellow *	\$2.64/hr		—

To the rates listed above, add 7.7% to the 9.8% when a graduate student is enrolled for fewer than 3 credits, or less than 1 credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. This is a change from previous years.

For more information about GA job classes and fringe rates, contact George Green, associate dean of the Graduate School 612.625.7368, green007@tc.umn.edu.

Other Job Classes

	Civil Service	Academic	Post-doc class #9546	Graduate Assistant
7/1/99 - 6/30/00	24.4%	27.6%	14.2%	15.3%
7/1/00 - 6/30/01	27.7%	27.5%	15.4%	17.5%
7/1/01 - 6/30/02	30.3%	31.1%	17.7%	21.1%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009. Complete details of fringe benefit rates for all classes of UM employees are available at http://process.umn.edu/groups/ppd/documents/rates/fringe2000_01.cfm.

Rate changes will be reflected in this section.

Facilities & Administrative (F&A) (Indirect Cost) Rates

The rates listed at right come from the University's most recent F&A/indirect cost agreement, dated **December 16, 1999**. This date should be used where required on applications.

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration at 612.624.5599. If you have questions on F&A/indirect cost rate development, please call Steve Bradley, 612.626.9895.

* A project is considered off-campus if more than 50 percent of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University.

Research (MTDC base)

On-campus	48.00%	FY 2000
	48.50%	FY 2001-03
Off-campus*	26.00%	FY 2000-03

SAFL on-campus	59.00%	FY 2000-03
SAFL off-campus*	26.00%	FY 2000-03
Hormel on-campus	50.00%	FY 2000-03
Hormel off-campus*	26.00%	FY 2000-03

Other Sponsored Activity (MTDC base)

On-campus	32.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

Instruction (MTDC base)

On-campus	52.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

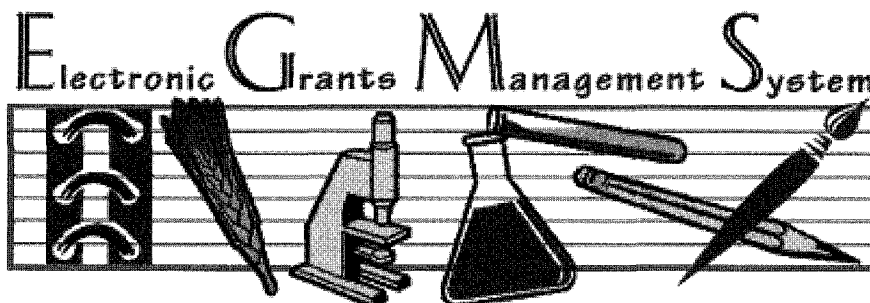
The entire agreement may be found at http://www.fpd.finop.umn.edu/groups/ppd/documents/rates/f_and_a_rates.cfm.

MTDC (Modified Total Direct Cost):

Total direct cost minus:

- graduate student fringe benefits
- equipment
- capital expenditures, e.g., new building construction
- charges for patient care
- tuition remission
- rental costs of off-site facilities
- scholarships and fellowships
- the portion of each subgrant and sub-contract in excess of \$25,000 per project period

For more information on equipment and subgrants and subcontracts in excess of \$25,000, see the April 1999 *Research Review*, or go to <http://www.ospa.umn.edu/resrev.htm>.



Spotlight on New EGMS Feature

Synergistic Activities subsection now available for preparing NSF biosketches

The Key Personnel section for EGMS National Science Foundation (NSF) proposals has been expanded to include a new subsection, Synergistic Activities. NSF now requires proposal biosketches to include a listing of synergistic activities, which are activities that "demonstrate the broader impact of the individual's professional and scholarly activities that focus on the integration and transfer of knowledge as well as its creation" (NSF Grant Proposal Guide NSF 01-2). Additional details and examples of the types of professional activities to include in the Synergistic Activities subsection can be found on page four of this issue or on the web at <http://www.ospa.umn.edu/rr/00-04/x04nsf.htm>.

In EGMS, the Synergistic Activities subsection provides a free-form text box where you can detail these activities. EGMS inserts the synergistic activities information into the biosketch listing, between the Publications and Collaborators sections, as required by NSF. When the proposal is audited, EGMS checks that each biosketch, with the synergistic activities included, does not exceed the two-page limit.

For more information about the modified NSF biosketch, contact the EGMS business helpline at 612.624.1033.

New Features Available in EGMS

We want to keep you up-to-date on enhanced and new EGMS features. Look for this occasional update list in *Research Review*.

Documentation:

- Instructions for Modular Grants updated to clarify the method by which EGMS calculates the modular budget.
- General information about the AREPA (Annual Report of External Professional Activities) posted to both the EGMS Home Page and to the online AREPA form.
- The EGMS online help system, QuickHelp, posted on the Expertise and Other Support Database screens.

In the Proposal Preparation Database:

- **Synergistic Activities subsection** (NSF proposals, Key Personnel section): new subsection for describing the broader impact of an individual's professional and scholarly activities added; information entered becomes part of the two-page NSF biosketch (see accompanying article for more information).

On the PRF (Proposal Routing Form) in the OSPA Forms Database:

- **Question 7** (Principal Investigator) and **Question 8** (Co-investigators): Social Security Number no longer requested or printed.
- **Question 8** (Co-investigators): limit to the number of Co-investigators on the PRF removed.
- **Executive Summary:** Following Question 19, a new, optional field added, in which users can provide a short summary of the proposed project. The executive summary is limited to 2000 characters (including spaces) and prints on a continuation page.
- **Modification to Samsara PRF functionality:** function added that converts Samsara PRFs to a new status, 'Posting,' after the PRF has been processed through SPA. 'Posting' PRFs cannot be modified; the data can be re-used only by using the existing PRF as a template.

On the AREPA (Annual Report of External Professional Activities) in the OSPA Forms Database:

- **View Requests mechanism:** Options added to customize displayed report by either reporting year or by college/unit. Report modified to display the college/unit and reporting year for each form.

National Science Foundation Synergistic Activities

Synergistic activities is a new section in the Biographical Sketch section of all NSF proposals for the year 2000.

These activities are considered an important part of the review criteria. The following requirement is from the National Science Foundation (NSF) Grant Proposal Guide (NSF 00-2).

Synergistic activities are a list of up to five examples that demonstrate the broader impact of the individual's professional and scholarly activities that focus on the integration and transfer of knowledge as well as its creation. Examples could include: innovations in teaching and training (e.g., development of curricular materials and pedagogical methods); contributions to the science of learning; development and/or refinement of research tools; computation methodologies, and algorithms for problem-solving; development of databases to support research and education; broadening the participation of groups under-represented in science, mathematics, engineering, and technology; and service on national boards and committees.

There is no set format for the synergistic activities at this time. All other requirements of the Biographical Sketch section of the proposal remain unchanged. Please note in particular that the page limit is still two pages.

Certified Approver Examination Schedule

on the web at <http://www.oar.umn.edu/CA/schedule.htm>

January – June 2001

Preregistration Required

Please call 612.625.9057 with questions about the

Certified Approver Program

Locations are subject to change

<u>Date</u>	<u>Day</u>	<u>Part</u>	<u>Start</u>	<u>Location</u>
January				
8	Monday	2	9:00, 1:00	9 Eddy Hall
25	Thursday	1	8:30, 10:15, 1:15	9 Eddy Hall
February				
12	Monday	2	1:00 p.m. only	9 Eddy Hall
22	Thursday	1	9:00 a.m. only	9 Eddy Hall
March				
12	Monday	2	1:00 p.m. only	9 Eddy Hall
22	Thursday	1	9:00 a.m. only	9 Eddy Hall
April				
9	Monday	2	1:00 p.m. only	9 Eddy Hall
26	Thursday	1	9:00 a.m. only	9 Eddy Hall
May				
14	Monday	2	1:00 p.m. only	9 Eddy Hall
24	Thursday	1	9:00 a.m. only	9 Eddy Hall
June				
4	Monday	2	1:00 p.m. only	9 Eddy Hall
21	Thursday	1	9:00 a.m. only	9 Eddy Hall

EGMS Open Lab Schedule for January - March 2001

Sponsored Projects Administration offers hands-on, open user labs for EGMS users, new and experienced. An EGMS grants assistant is available to answer questions or demonstrate EGMS. Registration is not required for labs.

The lab is offered on Wednesdays from 9 a.m. to 11:30 a.m. in room 664, Children's Rehabilitation Center (just south of the Boynton Health Service Building on the Minneapolis East Bank). January through March 2001 the lab will be offered on:

January 10	February 7	March 7
January 24	February 21	March 21

**Training Services
Sponsored Project Administration
Courses**

January - February 2001

In the labs, support is given on all of the systems for which training is offered,
plus related policies and procedures.

Sponsored Projects Administration: (two-day class covering PreAward, . . . PostAward, and Reporting/Closeout)	Tuesday Wednesday	Feb. 20 Feb. 21	through 8:30 a.m. - 2:00 p.m.
Effort Certification: (for Effort Coordinators)	Thursday	Feb. 22	1:00 p.m. - 4:00 p.m.
EGMS Division Administration: . .	Thursday	Feb. 15	8:30-11:30 a.m.
EGMS Proposal Preparation:	Wednesday Wednesday	Jan. 31 Feb. 21	8:30 a.m. - 3:30 p.m. 8:30 a.m. - 3:30 p.m.

Please go to the Training Services web site for more information:
<http://training.finop.umn.edu/classes.html>. To register for a class, please call Training Services
at 612.626.1373.

**Reminder:
SPA Proposal
Requirements
and Deadlines**

Sponsored Projects Administration (SPA) requires the following when delivering proposals to their office:

- the correct number of copies for the sponsor and one copy for SPA
- the required signatures on the Proposal Routing Form (PRF) and other documentation
- the name, email, and phone number written on the PRF of a person SPA can contact with questions or problems regarding the proposal
- delivery of the proposal by 1:00 p.m. if SPA needs to send it by express mail that same day

SPA handles proposals in the order in which they arrive at their office. If you deliver your proposal after the times listed above, SPA staff will do their best to review it, but ask that you take responsibility for arranging delivery.

Fastlane Proposal Deadlines

Grant administrators in SPA need to be given access to full and/or partial FastLane proposals **three (3) working days** before the NSF submission deadline. The hard copy is due at SPA by 5 p.m. the day before the electronic submission is to take place. We have not been receiving many of the Fastlane proposals early enough! The three days is needed to allow proper review, to allow time for corrections that cannot be made by SPA, and to allow for unanticipated Internet slowdown or downtime. It is likely that if there is not adherence to the SPA deadline, there will be proposals that don't make the NSF deadline.

What's New in Grants Management

An index to Changes and Announcements

January 2001

(month seven of UM fiscal year 2001)

This month there are no changes or announcements regarding grants management.

“Designing Research for Change” Workshop coming February 22 - 24, 2001

A unique Sesquicentennial workshop, “Designing Research for Change: The role of research and researchers in effecting change within communities” is being held at the Humphrey Institute, February 22-24, 2001.

The workshop is the creation of a somewhat unlikely trio of women. Cathy Jordan, assistant professor of Pediatrics, and Susan Gust, a community activist of the Phillips Neighborhood, and Naomi Scheman, professor of Philosophy and Women’s Studies and associate dean of the Graduate School.

Jordan and Gust have worked together for seven years on community-based research projects under the auspices of the Phillips Neighborhood Healthy Housing Collaborative. The Collaborative is comprised of neighborhood residents, University researchers, Minneapolis and Minnesota Health Department representatives, community-based organizations and a local state representative. A primary purpose of the Collaborative is to address the economic, skill, and leadership development of Phillips while addressing pressing environmental health issues affecting children, often through research. Jordan and Gust initially approached the problem of environmental health in Phillips from the very disparate perspectives of a traditionally trained academic researcher and a feisty community activist. However, through the process of collaboration and shared power, they have come to think of each other’s role in research and solving problems in communities as complementary and indispensable. The lessons they have learned through their partnership instilled in both a passionate belief in the value of research as a tool for social change and a desire to teach others this model and to work to dismantle barriers to conducting research in ways that impact social change.

Scheman had been discussing with colleagues and administrators for some time the growing distrust of the University by the public. She recognized that diverse publics perceive the University as failing to respectfully engage with them either as knowledgeable critics or as potential research partners (rather than “subjects.”) The public therefore views the discoveries and information coming from the University as serving ends that are (at best) irrelevant to their lives and therefore as fundamentally not trustworthy. Scheman met Jordan and Gust one year ago and as their commonalities in thinking and passions surfaced, ideas for a workshop with transformative potential began to surface.

Jordan’s thinking revolves around the concept that when researchers don’t design research and disseminate research information with the goal of participating in policy or social change, the resulting findings, when actually made available to nonscientific audiences, cannot be interpreted or used by decision-makers

and affected communities. Jordan upholds a model of research in which researchers, communities, policy makers, and practitioners work together in an equal and collaborative way, thereby enriching research design and process through the guidance of nonacademic partners, increasing the likelihood that research findings will actually be utilized, and gaining a deeper understanding of the complexities of research questions. However, Jordan believes that this research model faces many barriers at the University, community, funding agency and policy-making levels that need to be overcome.

Gust’s ideas focus on the notion that communities, be they geographic, ethnic, or issue-identified, often correctly believe that their only role in research is as “subjects.” They do not participate in identifying the questions important to their community, they do not help design the project or carry it out, and they may or may not ever hear the results of the project. Yet community members do eventually benefit from this research in their everyday lives. Gust envisions the incredible possibilities that could be realized if communities were to more fully participate by defining their own needs, putting the research questions in their own language, helping to guide and govern the hands of the researchers, and sharing the information produced. Scheman believes the fundamental mistrust of research institutions stands in the way of our creating truly objective knowledge and that this (very traditional) goal will come into reach only when diverse communities become full collaborators in the research process as well as respected critics of it.

The “Designing Research for Change” workshop will be a lively, participatory, working meeting uniting members of the academic, community, funding, and policy-making sectors in discussion and action around the need for academic research to consider societal need and to welcome the participation of nonacademic stakeholders. The workshop will also identify and begin to develop strategies to dismantle institutional and community barriers to integrating scholarly research and civic engagement. It is the organizers’ hope that participants will leave the workshop with a strengthened understanding of research as a tool for change and that they will identify specific ways that they as individuals and as a collective group can create and sustain a movement toward increased connections between research and democratic, participatory social change. The workshop format will consist of a mixture of plenary sessions and small group working-meetings, some composed of a cross-section of participants focusing on issues from diverse perspectives and some composed of homogenous groups of academic researchers, community members, funders or policy makers addressing issues from their sector’s perspective.

ED, NIH Win Big In Final Congressional Funding Action

Congress finished up 2001 appropriations last month, giving the Education Department (ED) and the Health and Human Services Department (HHS) big increases.

Even after trimming funds from a previous preliminary spending agreement, lawmakers passed record budgets for grantmaking agencies. Final appropriations action resulted in:

- \$44.5 billion for ED, up \$6.5 billion; including a hefty \$85 million boost for the TRIO program for minority and disadvantaged students;

Some of ED's increases are deceptive, for example, of the \$147 million total for the Fund for the Improvement of Postsecondary Education about \$115 million is earmarked for specific projects.

- \$97.4 million for the Labor Department's pilots, demonstrations and research programs, up from \$65 million; and
- \$20.3 billion for HHS' National Institutes of Health (NIH), up \$2.5 billion, including more than \$3.5 billion for the National Cancer Institute, NIH's biggest component.

HHS' big early childhood education and development Head Start program garnered a whopping \$1 billion increase, to total more than \$6 billion.

The HHS budget also includes significant increases for other health agencies, such as the Centers for Disease Control and Prevention (CDC), and the Health Resources and Services Administration (HRSA).

The HRSA account includes \$58.2 million for rural outreach grants, an increase from \$35.8 million; and \$35.9 million for telehealth projects.

A reinvigorated health policy agency, the Agency for Healthcare Research and Quality, reaped \$269.9 million, up from \$198.7 million.

The Substance Abuse and Mental Health Services Administration's competitive grants increased to \$635 million from \$499 million.

Increases in the final appropriations action, especially for research, were generally in keeping with the tone of earlier spending bills for agencies such as the National Science Foundation. NSF's \$4.4 billion budget, up \$529 million or 13.6 percent, represents the largest dollar increase in the agency's history.

Contact the House Appropriations committee at <http://lcweb.loc.gov/global/legislative/appover.html> with questions.

from the Federal Grants and Contracts Weekly

Congress Rolls Out Targeted DoD Health Research Programs for 2001

The congressional budget stalemate may have complicated 2001 spending plans for domestic grantmakers, but Defense Department health research programs are on track.

Here's what grantees can expect from the Army's congressionally directed health programs:

- \$100 million for prostate cancer research, with two announcements, one coming in January;
- \$175 million for breast cancer research, with an announcement expected in February;
- \$17 million for research on neurofibromatosis, with a solicitation due in March; and
- \$15 million for research on ovarian cancer, with an announcement sometime this year.

Contact: the U.S. Army Medical Research and Materiel Command Web site at <http://mrmc-www.army.mil>.

from the Federal Grants and Contracts Weekly

Workshop continued from page six.

This format is specifically designed to facilitate three goals related to participant interactions:

- To use the past experiences of each group in interacting with the others to identify barriers to and facilitators of the collaborative process and research designed for change.
- To use the real time experience of interacting at the workshop to add to knowledge about barriers and facilitators.
- To forge new relationships and understandings within and across these groups.

The University research and administrative community, regardless of discipline, are invited to participate in this exciting workshop. For further workshop information, email Cathy Jordan at jorda003@umn.edu. For registration information, email Brooke Manisto of Conference Planning at bmanisto@cce.umn.edu.

Research Animal Resources Site Visit

The Association for the Assessment and Accreditation of Laboratory Animal Care, International (AAALAC) will be site-visiting the University of Minnesota during the entire week of March 5th. This will be the first time the Twin Cities Academic Health Center facilities have been combined with the Duluth Medical School and the Hormel Institute into one site visit as a single accredited unit.

Personnel working with or caring for research and teaching animals should be prepared for thorough review of their facilities, staff, and programs. Site visitors will assess the level of awareness of, and participation of, staff in the Occupational Health Program and in Training Programs. Site visitors will assess adherence to Environmental Health and Safety policies. Surgery laboratories, both large animal and rodent, will be visited; principal investigators are asked to prepare their staff and facilities appropriately.

The University is looking forward to the thorough review and constructive suggestions that constitute an AAALAC site visit. AAALAC accreditation is the gold standard for research animal care programs and facilities. Its achievement and maintenance represents the University's commitment to appropriate and humane use of animals in its research and teaching programs.

For advice or further information, please contact Research Animal Resources at 612.624.9100. The AAALAC web site is <http://www.aaalac.org>.

Principal Investigators University Awards Summer Research Fellowships

The University has awarded Faculty Summer Research Fellowships (FSR) to the individuals listed below for the summer of 2001 and nominated these individuals for McKnight Summer Fellowships for the Arts and Humanities. These fellowships aid research and artistic creation by allowing faculty members to conduct very thorough work on a specific project during the summer. Eligibility for the Faculty Summer Research Fellowships is limited to assistant, associate, or full professors in the arts, humanities, and social sciences. Recipients cannot accept any employment during the summer of the fellowship, and they cannot have a University-supported leave either in the year preceding or following the fellowship.

Selected FSR faculty members receive a \$5,000 fellowship stipend. The proposals selected by the FSR committee were forwarded to the Provost's Office for review and determination of eligibility for the \$5,000 matching McKnight Summer Fellowship (a total of \$10,000 per summer for those matched). McKnight funds only arts and humanities proposals so not all applications chosen by FSR are matched. A total of 27 proposals are funded by both fellowships each year. FSR funds additional proposals if they have remaining money, but the McKnight fellowship is restricted to funding 27 proposals. This past year there were 86 proposals with 32 receiving funding by FSR. An all-University committee selects among the various proposals. Applicants are judged primarily on scholarly merit and must communicate effectively to a broad academic audience because the committee is made up of nonspecialists.

During the academic year following their fellowship, the McKnight Summer Fellows will present their work in a public forum to make their work available to the University community. Summer 2001 FSR recipients and McKnight nominees include:

Bauer, Sarah A.	Art, UM - Duluth
Blake, Debra J.	English, UM - Twin Cities
Cherbuliez, Juliette	French & Italian, UM - Twin Cities
Choy, Gregory	General College, UM - Twin Cities
Crain, Patricia A.	English, UM - Twin Cities
Dabbs, Julia K.	Humanities, UM - Morris
DeNardi, Mariacristina	Economics, UM - Twin Cities
Farber, Lianna H.	English, UM - Twin Cities
Ferran, Ofelia	Spanish & Portuguese, UM - Twin Cities
Fischer, Kirsten	History, UM - Twin Cities
Gaiter, Colette	Journalism & Mass Communications, UM - Twin Cities
Gerkenmeyer, Janis E.	Nursing, UM - Twin Cities
Haley, David B.	English, UM - Twin Cities
Hilyard, Stephen	Art, UM - Duluth
Johnson, Timothy R.	Political Science, UM - Twin Cities
Karras, Ruth M.	History, UM - Twin Cities
Kelly, Erin L.	Sociology, UM - Twin Cities
Kohnert, Kathryn	Communication Disorders, UM - Twin Cities
Krug, Rebecca L.	English, UM - Twin Cities
Langford, Jean M.	Anthropology, UM - Twin Cities
Lower, Michael T.	History, UM - Twin Cities
Lukkas, Lynn T.	Art, UM - Twin Cities
Lutfey, Karen E.	Sociology, UM - Twin Cities
Martinez, David	American Indian Studies, UM - Twin Cities
Mori, Akira	Music, UM - Twin Cities
Moss, Margaret P.	Nursing, UM - Twin Cities
Olson, Loreen N.	Humanities, UM - Morris
Roos, Anna Marie	History, UM - Duluth
Schofer, Evan A.	Sociology, UM - Twin Cities
Shank, John B.	History, UM - Twin Cities
Wasson, Haidee S.	Cultural Studies & Comp. Lit., UM - Twin Cities
Watson, Stephanie A.	Design, Housing & Apparel, UM - Twin Cities

More Information

To generate copies of NIH application forms, please go to EGMS at <http://nirvana.ospa.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>.

NSF program information is at <http://www.nsf.gov/pubs/2000/nsf002/start.htm>.

NSF requires FastLane submission at <http://www.fastlane.nsf.gov>.
(For help, call the EGMS help line at 612.624.1600.)

For funding searches

Please contact the Office of the Vice President for Research
612.625.7585; facgrant@gold.tc.umn.edu
<http://www.research.umn.edu/research.html>.

Department of Energy*** Investigator-Initiated Grants**

Broad categories include: basic energy sciences; high energy and nuclear physics; advanced scientific computing research; fusion energy sciences; biological and environmental research; and energy research analysis.

Applications may be submitted at any time. For those without internet access, call 301.903.5212. Go to <http://www.science.doe.gov/production/grants/grants.html>.

Robotics

To support basic research on robotics and intelligent machines leading to development of cost-effective solutions to energy efficiency, safety, and security.

Formal applications are due March 20, 2001. The DOE contact is Robert Price, 301.903.3565, fax 301.903.9513, boblprice@science.doe.gov. Go to <http://www.sc.doe.gov/production/grants/grants.htm>. Refer to notice 01-04.

Department of Justice*** Minority Trust and Confidence in the Police**

Proposals to support scientifically sound, basic research to form the basis for policy and program changes related to reducing excessive police force, abuse of authority, and improved police-community relations.

The deadline is February 15, 2001. The solicitation is available at <http://www.ncjrs.org/txtfiles1/nih/s1000448.txt>. For information call the National Criminal Justice Reference Service, 800.851.3420.

Department of Defense

Army

*** Prostate Cancer**

The Defense Department is planning to release two program announcements soliciting proposals for prostate cancer research. The first announcement will solicit "idea" development applications, new investigator applications, and postdoctoral traineeship applications. The deadline will be in March, and the announcement will be released next month. The second announcement will invite applications for clinical trials, research consortium development, institutional training, and scholar awards. This deadline will be released in May or June with a deadline of January, 2002.

For information go to <http://cdmnp.army.mil>.

**American Chemical Society,
Petroleum Research Fund***** Type G Starter Grants**

To advance scientific education and fundamental research in the petroleum field. Research is supported in chemistry, earth sciences, chemical engineering, and in related fields such as polymers and materials science.

These grants are intended for new faculty within the first three years of a regular appointment and without extensive postdoctoral research experience. The grant consists of \$25,000 over two years. A Type G grant may fund student stipends, summer faculty salary, supplies and equipment, and travel.

Applications may be submitted at any time. The advisory board normally meets to review proposals three times a year in February, May, and November. Go to <http://www.acs.org:80/prf/prfgrant.html#g>.

*** Type AC Grants**

Most AC grants will provide \$60,000 over two years. Budget may include stipends for graduate students, undergraduates, or postdoctoral fellows, summer faculty salary, research supplies, travel costs, and a \$500 annual departmental allocation.

Applications may be submitted at any time. The advisory board normally meets to review proposals three times a year in February, May, and November. Go to <http://www.acs.org:80/prf/prfgrant.html#typeac>.

**National Council for the Social
Studies***** Grants for the Enhancement of
Geographic Literacy**

Grants to 1) promote geographic education in schools; 2) enhance the geographic literacy of students at the classroom, district, or statewide level; and 3) encourage the integration of geography into the social studies curriculum or classroom.

The application deadline is March 21, 2001. Go to <http://www.ncss.org/awards/grants.html>.

Gloekner Foundation

× Research Grant

Provides a source of financial aid for research and educational projects in floriculture and in the supporting and allied fields, such as agricultural economics, agricultural engineering, entomology, plant breeding, plant pathology, and plant physiology related to floriculture.

The application deadline is April 1, 2001. Go to <http://www.gloeknerfoundation.org/images/gloeck.pdf>.

Russell Sage Foundation

× Presidential Authority Grants

The foundation currently pursues four programs: 1) research on the future of work concerned with the causes and consequences of the decline in demand for low-skill workers in advanced economies; 2) research on current U.S. immigration focused on the adaptation of the second generation to American society; 3) a joint program with the Mellon Foundation supporting research on curricula designed to foster active literacy among disadvantaged students; and 4) a program on the social psychology of cultural contact that focuses on improving relations between racial and ethnic groups in schools, workplaces, and neighborhood settings.

In addition, the foundation also supports a special project on the analysis of the 2000 Census; a working group examining the political response to recent efforts to reform U.S. social policy; and the Behavioral Economics roundtable, a forum for advancing the interdisciplinary analysis of economic life.

Applications may be submitted at any time; the Board of Trustees meets in February, June, and October and proposals must arrive at least eight weeks prior to a board meeting. To to http://www.russellsage.org/about/how_to_apply.htm.

Parapsychology Foundation

× Grant Program

For original study, research, and experiments on projects concerned with parapsychology. Grants may be made to scientists, universities, laboratories, and others conducting research in telepathy, precognition, psychokinesis, and related phenomena.

Applications may be submitted at any time. Go to <http://www.parapsychology.org/html/grant.html>.

Johns Hopkins Center for Alternatives to Animal Testing (CAAT)

× Grants

Projects investigating the fundamental knowledge needed to develop alternative methods to the use of whole animals for safety/hazard evaluation, risk assessment, and efficacy. In vitro approaches to evaluate cellular and target organ toxicity are encouraged. Examples: developing new cell culture systems; applying current testing methodology to human cells/cell lines; and designing new, mechanistic, state-of-the-art methods that may utilize cultured cells, computer technology, or any other system applicable to toxicity/efficacy evaluation. CAAT does not fund projects relating to carcinogenicity or mutagenicity.

The application deadline is March 15, 2001. Go to <http://caat.jhsph.edu>.

Department of Labor

× Research Grant

The DoL's Employment and Training Administration invites applications for demonstration projects to provide employment and developmental services to youths who are or have been under criminal justice supervision or involved in gangs.

The application deadline is February 28, 2001. Go to <http://doleta.gov> and refer to SGA/DFA-01-101.

National Science Foundation

× Research Grant

NSF, one of eight federal partners, announced the third competition in a series of five for applications focused on understanding and exploiting metabolic processes in living systems. Metabolic engineering involves the redirection of cellular activities by the rearrangement of the enzymatic, transport and regulatory functions of the cell through the use of recombinant DNA and other techniques. The effort has focused on microbial organisms and cell cultures from plants, insects, and animals.

Funding may total \$550,000 in total costs for the entire duration of a project for single-investigator proposals and up to \$1 million for multiple investigator proposals. The project period is three years.

The application deadline is March 2, 2001. Contact Fred Heineken, NSF, 703.292.8320; email, fheineke@nsf.gov; or <http://es.epa.gov/ncerqa/rfa/metainter00.html>.

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Instructions on Changing Addresses

SPA cannot change the faculty mailing list. It is a list we *buy* monthly.

(Faculty mailing labels are those with a string of seven numbers printed above the addressee's name.)

This list is generated by Human Resources and changed in your department.

For faculty-list changes, please call your departmental payroll or Human Resources coordinator.

For changes regarding *other* labels (no numbers above the name), please complete the following:

Change Name: _____

Add Department: _____

Delete Building & Room No.: _____

Mail Delivery Code (if on campus): _____

City, State, Zip (if off campus): _____

Send changes to: Danielle Billington
Sponsored Projects Administration
450 Gateway Building
200 Oak Street
Minneapolis, MN 55455



Made with agribased inks and at least 10 percent post-consumer waste.

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Sponsored Projects Administration
450 Gateway Building
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Minneapolis, Minnesota 55455-2070

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Research Review



Sponsored Projects Administration
Patents and Technology Marketing
Oversight Analysis and Reporting

February 2001

Volume XXX, Number 8
<http://www.ospa.umn.edu/resrev.htm>

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Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of the month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, erick210@tc.umn.edu.

University Researcher Named Leading Innovator by National Publication

U.S. News and World Report recently named University of Minnesota researcher Dr. Catherine Verfaillie as one of the nation's ten leading innovators in science and technology.

Verfaillie was chosen for discovering how adult stem cells develop into different tissues including heart, liver, and nerve cells. "It's a great honor to be featured like this, and I hope it will help the University's fundraising efforts for stem cell research," said Verfaillie. Her work with adult stem cells avoids the controversy associated with stem cell research from embryos.

Her discoveries may someday allow doctors to repair or replace damaged tissues and organs caused by disease, illness, or other ailments. Soon Verfaillie will test how the new cells react in mice with illnesses such as multiple sclerosis and Alzheimer's disease. She estimates that transplants in humans are likely three to five years away.



Verfaillie received her medical education in Belgium and chose to work at the University of Minnesota. "The longstanding interest in stem cell research and other transplants here make this a great place to do this kind of research," according to Verfaillie.

Because of her groundbreaking research, Verfaillie has received many job offers from around the country. To persuade her to stay here, the University asked Verfaillie to lead its StemCell Institute.

(Verfaillie continued on page 10)

Catherine Verfaillie

RESEARCH REVIEW

Volume XXX, Number 8

February 2001

Editor: Bruce Erickson
 Editorial Assistant: Tove Jespersen
 Associate Vice President: Ed Wink

Research Review is a monthly publication of the Office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 450 Gateway Building, 200 Oak Street SE, Minneapolis, MN 55455-2070, or call Bruce Erickson, 612.625.2354, erick210@tc.umn.edu, or Tove Jespersen 612.624.0061, tove@tc.umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

Rates effective Fall 2001

TA, RA, AF: standard of gross salary	\$6.24	+	9.8%
TA, RA, AF: advanced master's or Ph.D.	\$1.04	+	9.8%
Summer session semester TA, RA, AF	—		9.8%
Summer session TA, with tuition	\$14.78	+	9.8%
Summer session TA, without tuition	—		9.8%
Professional program assistant	—		9.8%
Dental fellow *	\$4.45		—
Medical fellow *	\$3.12		—

To the rates listed above, add 7.7% to the 9.8% when a graduate student is enrolled for fewer than 3 credits, or less than 1 credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. This is a change from previous years.

For more information about GA job classes and fringe rates, contact George Green, associate dean of the Graduate School 612.625.7368, green007@tc.umn.edu.

Other Job Classes

	Civil Service	Academic	Post-doc class #9546	Graduate Assistant
7/1/00 - 6/30/01	27.7%	27.5%	15.4%	17.5%
7/1/01 - 6/30/02	31.4%	31.2%	18.8%	23.1%
7/1/02 - 6/30/03 projected	34.4%	32.8%	20.4%	24.1%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009. Complete details of fringe benefit rates for all classes of UM employees are available at http://process.umn.edu/groups/ppd/documents/rates/fringe2000_01.cfm.

Rate changes will be reflected in this section.

Facilities & Administrative (F&A) (Indirect Cost) Rates

The rates listed at right come from the University's most recent F&A/indirect cost agreement, dated **December 16, 1999**. This date should be used where required on applications.

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration at 612.624.5599. If you have questions on F&A/indirect cost rate development, please call Steve Bradley, 612.626.9895.

* A project is considered off-campus if more than 50 percent of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University.

Research (MTDC base)

On-campus	48.00%	FY 2000
	48.50%	FY 2001-03
Off-campus*	26.00%	FY 2000-03
SAFL on-campus	59.00%	FY 2000-03
SAFL off-campus*	26.00%	FY 2000-03
Hormel on-campus	50.00%	FY 2000-03
Hormel off-campus*	26.00%	FY 2000-03

Other Sponsored Activity (MTDC base)

On-campus	32.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

Instruction (MTDC base)

On-campus	52.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

The entire agreement may be found at http://www.fpd.finop.umn.edu/groups/ppd/documents/rates/f_and_a_rates.cfm.

MTDC (Modified Total Direct Cost):

Total direct cost minus:

- graduate student fringe benefits
- equipment
- capital expenditures, e.g., new building construction
- charges for patient care
- tuition remission
- rental costs of off-site facilities
- scholarships and fellowships
- the portion of each subgrant and subcontract in excess of \$25,000 per project period

For more information on equipment and subgrants and subcontracts in excess of \$25,000, see the April 1999 *Research Review*, or go to <http://www.ospa.umn.edu/resrev.htm>.

Sponsored Projects Administration Sponsored Agreement “On Campus” versus “Off Campus” Designations

Recently, SPA staff members have received numerous inquiries concerning the proper determination of designating sponsored projects as “On” or “Off” campus activities.

This determination is important to meet the terms and conditions of external sponsor proposals and awards. Also, correct assignments permit the University to properly recover all facilities - type expenses incurred during the performance of sponsored agreements through the application of the correct facilities & administrative (F&A) rate.

The official University policy provides the following criteria: *“A project is considered off-campus if more than 50 percent of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University.”*

Application

Proposal preparers should make determinations based upon the location in which the predominance of salaried staff will work during the course of a sponsored project. For practical application, the term “direct” above should include direct charged salaries and wages but should exclude cost-shared labor. Also, time spent in travel status does not automatically yield an “Off” campus designation if research staff have University space as the fixed site.

As a general rule, the University considers sponsored agreements “On” campus if rental costs are paid for by central administration, collegiate, or departmental funds. This permits the University to recover its building costs via the application of the proper “On” campus F&A rate. In contrast, “Off” campus projects normally involve the payment of rental costs by external sponsors, which proposal preparers should include in proposal budgets and grant awards.

“On” campus examples may include sponsored activities:

- In the West Bank Office Building (WBOB) which the University owns
- In the Opus building at 1100 Washington Avenue where the University leases the entire building
- Within Fairview Hospital space where the University pays rent through central administration, collegiate, or departmental funds.

Common “Off” campus examples may include:

- University sponsored projects conducted in local commercial buildings for which the external sponsor pays the rental fees, such as the new Gateway building owned and mainly occupied by nonuniversity corporations
- University grants conducted at the local Veteran’s Administration facility where there is no rental fee
- The University General Clinical Research Center grant conducted in Fairview Hospital space where the lease is paid by the grant.

Since these determinations may involve complex conditions and historical issues specific to the grant, proposal preparers should contact SPA grant administrators with any questions.

National Science Foundation Uploading Files into NSF FastLane in Other Formats

FastLane now supports file uploads in a variety of formats including Word, WordPerfect, PostScript and TeX (MiKTeX1.20e). You should continue to use standard fonts to avoid font substitutions and you will need to proofread and accept the uploaded files.

PDF files will continue to be accepted if properly created. (e.g. ensuring that all fonts are embedded, the file is in Acrobat 3 format and that PDFWriter was not used to create the file).

What’s New in FastLane as of January 10, 2001

See <https://www.fastlane.nsf.gov/a1/A1AcceptableFileExtensions.html> for further information.

NSF FastLane Password Reset

An automated password reset function is now available in FastLane for users who forget their passwords (see “Password Reset” on log-in pages). Once the user is authenticated through information presently in our database, a one-time password is generated, stored in one-way encrypted format in FastLane, and sent by e-mail to the address on record. As with virtually all FastLane functions, the password reset function is available all the time. Therefore, users no longer need to wait to contact the FastLane Help Desk or the Sponsored Research Office.

* This information can be viewed on the FastLane website <https://www.fastlane.nsf.gov/fastlane.htm>.

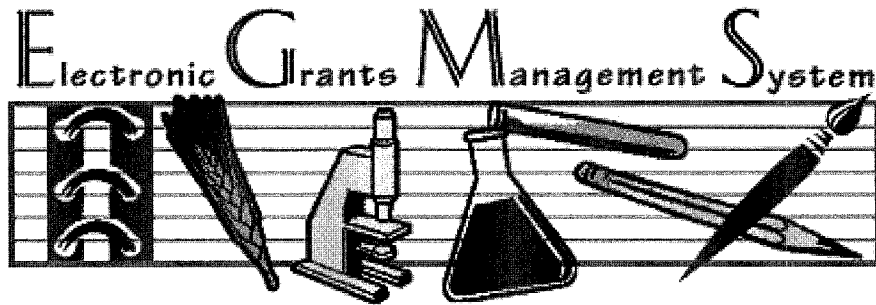
What’s New in Grants Management

An Index to Changes and Announcements

February 2001

(month eight of UM fiscal year 2001)

This month there are no changes or announcements regarding grants management.



Revisiting the Proposal Routing Form (PRF)

Tips for use and a few new features

The Proposal Routing Form (PRF; formerly the BA23) is an internal University of Minnesota document that accompanies all proposals submitted to Sponsored Projects Administration (SPA). An investigator uses the PRF to detail and seek approvals regarding assurances and compliance information (cost-sharing, human and animal subjects assurances, sufficient space, conflict of interest, and environmental health and safety, for example) as it relates to the proposal.

Investigators must complete the PRF as an electronic document in EGMS. At this time, some investigators use EGMS to prepare both the proposal and the PRF, while others use EGMS only to prepare the PRF. In both cases, proper completion and approval of the PRF facilitates the proposal submission process. This article describes the process of PRF preparation, provides tips for the effective use of the PRF, and reviews the recent changes that have been made to the EGMS PRF.

PRF preparation

If you have prepared a proposal in EGMS, you create the PRF from within the proposal itself, using proposal data to fill some of the PRF fields. If you have not prepared a proposal in EGMS, you create and complete the PRF in the EGMS OSPA Forms Database. Upon completion, EGMS audits the PRF data to check that all the required information has been provided (and provided in the correct format). Once the PRF has passed audit, you can collect approval signatures either electronically through EGMS or by printing and circulating the PRF for ink signatures. You must collect signatures either all electronically or all in ink. When delivering your application materials to SPA, include one printed copy of the PRF (containing all the necessary ink or electronic signatures) with the original proposal and the proposal copies.

Tips for use of the PRF

For data entry:

- When you create a PRF from an EGMS proposal, some proposal data will flow over to initiate the PRF. If any of these data items needs to be modified on the PRF, you must modify that item in the proposal itself, which feeds the PRF the corrections.
- List all University Co-Investigators on the PRF.
- With the exception of Equipment proposals, indicate some effort (paid or unpaid) on the proposed project for the PI and all Co-Investigators. Listing effort is a University, not an EGMS, requirement.
- In the PRF approval chain, at a minimum include: the PI, the Co-Investigators, the department head(s) (for all departments involved in the project), and the dean(s) of the academic unit(s). Check with your departmental administrator or EGMS Division Administrator (DA; see box on PRF terminology) regarding any additional signatures needed to meet University or unique departmental requirements.

For electronic routing of the PRF:

- When preparing a PRF approval chain, ask all those in the approval chain if they are set up as Approvers (see box on PRF terminology). Unless all individuals in the approval chain for a PRF are Approvers, you must gather all PRF approval signatures in ink.
- If, during the electronic routing of the PRF, the Preparer or one of the Approvers returns the PRF, any electronic approvals that have been granted so far are removed and the PRF will have to begin the approval process again.

(PRF continued on next page)

(PRF continued from previous page)

For electronic approval signatures:

- To be able to electronically approve a PRF, you must contact your EGMS Division Administrator (DA) to be set up as an Approver. Check with your departmental administrator to determine who is the EGMS DA for your department or unit.
- Once you are set up as an Approver for electronically approving PRFs, use your User Preferences screen to designate at least one person as your Alternate Approver. Choose individuals who are set up as EGMS Approvers and would be qualified to review and approve PRFs in your absence. Without an alternate, a PRF may sit for days in someone's "electronic in-basket" awaiting a single approval, because PRF signatures can only be collected in the order in which the approvers are listed.
- When reviewing a PRF for approval, if you want to request corrections to the document, do not use the Deny Request button. Instead, use the Return Request button to return the unapproved PRF to the Preparer. You can indicate in the Comments box what changes are needed on the PRF.

New features

Three recent updates to the EGMS PRF have changed the functionality of the form. First, you can now print a complete listing of all Co-Investigators who have been included on the online form. Second, you can include an Executive Summary of the proposed project in an optional text box on the PRF. This feature facilitates online review of the proposal, particularly in cases where the proposal has not been completed online using EGMS. Third, EGMS includes a new PRF Status, "Posting." PRFs that were approved with ink signatures are converted from Samsara to Posting Status once the PRF is processed through SPA. This new Status affects users because, unlike a Samsara PRF, a Posting PRF cannot be returned and modified.

For more information on these new features or for questions about using the PRF, contact the EGMS business helpline at 612.624.1033.

PRF Terminology

Approved	A PRF Status indicating that a PRF that was electronically routed for approval signatures has been processed through SPA.
Approver	A faculty or staff member granted permission by the EGMS Division Administrator to electronically sign a PRF. For a particular PRF, an Approver is a University staff member listed in the approval chain who will electronically sign the PRF.
BA23	The previous name of the PRF document.
Division Administrator (DA)	The EGMS DA is the person responsible for setting up and maintaining departmental access to EGMS and introducing staff to EGMS; to become an EGMS DA, an administrative staff member takes a class through Training Services. The DA sets up departmental staff as Approvers for the PRF. At this time, a department may or may not have an EGMS DA.
Draft	A diagonal watermark across the printed pages of a PRF, indicating that the PRF is being routed electronically for approval signatures.
Pending	A PRF Status indicating that the PRF has passed audit and is being routed electronically for approval signatures.
Posting	A new PRF Status indicating that a PRF that was signed in ink has been processed through SPA.
Preparer	The PRF Preparer is the person who starts the PRF. EGMS identifies this individual as the only person who can complete or correct the PRF and as the person the PRF will be sent back to for revision if it is returned during the approval routing process.
Returned	A PRF Status indicating that a PRF has not yet passed audit or was sent back to or retrieved by the Preparer for corrections.
Samsara	A PRF Status indicating that a PRF has passed audit and is to be approved with ink signatures.

Funding for Pre- and Postdoctoral Trainees, Junior Faculty

The Center for Addiction and Alternative Medicine Research at Minneapolis Medical Research Foundation (MMRF) is one of nine Centers sponsored by the NIH Office of Alternative Medicine, and the only one focusing specifically on drug abuse. The Center is funded for three trainee positions. All trainees must be U.S. citizens or have permanent residency status. Graduate and postdoctoral trainees may have had no more than one year of previous NIH training grant support.

The purpose of these stipends is to allow trainees who are receiving mainstream scientific training to direct a portion of their attention to the methodologically rigorous study and evaluation of alternative medicine approaches to the treatment of drug abuse or diseases related to drug abuse.

Trainees need not focus their entire research effort in this area, but alternative medicine must represent a sufficient emphasis to allow them to pursue careers in this area.

Graduate student (one position): Two years of support at the standard NIH rate is available. Students must be currently enrolled in a graduate training program in an appropriate research discipline such as, but not limited to, pharmacology or psychology, and making satisfactory progress toward their degree. Mentors may be faculty at MMRF or the University of Minnesota with an interest in alternative medicine.

Postdoctoral trainee (one position): Two years of support at the standard NIH rate is available. Trainees may have either PhD or MD degrees, but the purpose of the award is research training. Clinical work may be allowed, but only insofar as it supports the research training objective. Mentors may be faculty at MMRF or the University of Minnesota with an interest in alternative medicine.

Junior Faculty (one position): Two years of partial support is available to existing full time MMRF or University of Minnesota faculty at the Assistant Professor level. Awardees must devote time and effort to alternative medicine research commensurate with their level of support. Applicants should identify a mentor at MMRF or the University of Minnesota who can assist in their training.

Applicants for these positions should send a CV, cover letter describing their career objectives, and letter of support from their proposed mentor to:

Paul Pentel M.D., Director
Career Development Program
Center for Addiction and Alternative Medicine Research
914 South Eighth Street, B865
Minneapolis, MN 55404

Sponsors Enforce Reporting Deadlines

The Air Force Office of Scientific Research (AFOSR) recently announced that it will not grant new awards to institutions that have outstanding financial, patent, or technical reports for projects currently funded by that office. The AFOSR's notice is a reminder to all researchers and administrators at the University that it is extremely important for you to work together and with the offices of Sponsored Financial Reporting and Sponsored Projects Administration to submit timely reports to sponsors. If you believe that you may have difficulty meeting a reporting deadline, please call either of these offices to work out a solution.

National Institutes of Health New Salary Cap

Effective January 1, 2001, the NIH salary cap increased to \$161,200. This means that no NIH funds can be used to pay the salary of an individual at a rate in excess of this amount. The full text of the NIH's January 11th announcement can be found on the NIH section of SPA's website at <http://www.ospa.umn.edu>.

New NRSA rates

Effective October 1, 2000, salaries for the National Research Service Award (NRSA) also increased. The new rates can be found in the 'rates' section of SPA's website at <http://www.ospa.umn.edu>.

New Policy Reinforces Importance of Correct Formatting

Anyone preparing a proposal must pay close attention to formatting requirements outlined in the grant application instructions. A new policy issued by the National Institutes of Health on January 8, 2001 states that proposals submitted to any of their agencies will be reviewed for adherence to format requirements before they are processed. Any proposal that has incorrect font size, page numbers, etc. will be sent back to the applicant and cannot be submitted until the next review cycle. NIH's policy is similar to NSF's long-standing practice of rejecting proposals that do not conform to formatting requirements. As a reminder, any proposal prepared in the University's Electronic Grants Management System (EGMS) will be formatted correctly by that system.

Patents Issued October 2000 – December 2000

1. Title: **Nucleotide Cleaving Agents and Method**
Purpose: Provides a unique series of nucleotide cleaving agents and a method for cleaving a nucleotide sequence, whether single-stranded or double-stranded DNA or RNA.
Inventors: Lawrence Que, Jr., Leah M.T. Schnaith, Chemistry; Richard S. Hanson, Microbiology
2. Title: **Methods Expressing a Maize Acetyl CoA Carboxylase Gene in Host Cells and Encoded Protein Produced Thereby**
Purpose: Provides the complete cDNA sequence of maize acetyl CoA carboxylase and a method introducing and expressing a plant acetyl CoA carboxylase gene in plant cells.
Inventors: Burle G. Gengenbach, David A. Somers, Donald L. Wyse, John W. Gronwald, Margaret A. Egli, Agronomy and Plant Genetics; Sheila M.L. Prigge, Plant Pathology
3. Title: **Magneto-resistive Element and Structure**
Purpose: Provides a method and apparatus for utilizing magneto-resistance devices for the measurement of weak magnetic fields.
Inventors: E. Dan Dahlberg, Timothy J. Moran, Physics and Astronomy
4. Title: **Biological Control of Plant Disease on Roots of Conifer Seedlings**
Purpose: A novel method and composition is provided to control Fusarium root rot and damping off on conifer seedlings.
Inventors: Cynthia A. Buschena, Forest Resources; Cynthia M. Ocamb, non-U
5. Title: **Charged Particle Neutralizing Apparatus and Method of Neutralizing Charged Particles**
Purpose: A method for use in neutralizing a charged discharge, includes providing a neutralizer housing and an apparatus for carrying out this method.
Inventors: David Y.H. Pui, Da-Ren Chen, Mechanical Engineering
6. Title: **Modified *Pseudomonas Oleovorans* PHAC1 Nucleic Acids Encoding Bispecific Polyhydroxyalkanoate Polymerase**
Purpose: A genetically engineered *Pseudomonas oleovorans* phaC1 polyhydroxyalkanoate (PHA) polymerase having tailored substrate specificity.
Inventors: Friedrich Srien, John K. Jackson, Biological Process Technology Institute; David A. Somers, Agronomy and Plant Genetics
7. Title: **Vapochromic Photodiode**
Purpose: A new type of photosensor that reports the arrival of organic vapors.
Inventors: Yoshihito Kunugi, Kent R. Mann, Larry L. Miller, Marie K. Pomije, Chemistry

8. Title: **Dielectric Barrier Discharge System and Method for Decomposing Hazardous Compounds in Fluids**
Purpose: A system that can be used to decompose hazardous compounds in a liquid or a gas, such as in power plant flue gases.
Inventors: Rongsheng Roger Ruan, Anrong Ning, Shaobo Deng, Hongbin Ma, Chuanshuang Bie, Paul Ling Chen, Biosystems and Agricultural Engineering; Richard L. Bogaard, Donald G. Robinson, non-U

Patents Issued Prior to 4th Quarter, Not Previously Reported

9. Title: **Biodegradable Target**
Purpose: A biodegradable target fabricated from a mixture of a clay material and a peat material molded in a shape of a target.
Inventors: Brian K. Brashaw, Robert J. Vatalaro, Timothy S. Hagen, Roy D. Adams, Natural Resources Research Institute, Duluth; James Wisocki, non-U
10. Title: **System, Method, and Article of Manufacture for Utilizing Implicit Ratings in Collaborative Filters**
Purpose: A prediction information system for use between a user and an electronic rating broker, including a user interface for presenting items as information to the user.
Inventors: Bradley N. Miller, Joseph A. Konstan, John T. Riedl, Computer Science and Engineering

Technology Transfer Agreements October 2000 – December 2000

1. Title: **Biodegradable Target**
Purpose: A biodegradable target fabricated from a mixture of a clay material and a peat material molded in a shape of a target.
Inventors: Roy D. Adams, Brian K. Brashaw, Timothy S. Hagen, Robert J. Vatalaro, Natural Resources Research Inst., Duluth; James Wisocki, non-U
Licensee: BioTargets of America, Inc.
Research Agreement
2. Title: **Nanoimprint Lithography**
Purpose: A lithographic method and apparatus for creating ultra-fine patterns in a thin film coated on a substrate.
Inventor: Stephen Y. Chou, Electrical and Computer Engineering
Licensee: Corning, Inc.
Non-Exclusive License Agreement

- 3-4. Title: **Apple Tree, Variety Minnewashta/ZESTAR!**
 Purpose: An apple tree with vigorous early growth, good hardiness with little winter injury, and annual fruit production.
 Inventors: David S. Bedford, James J. Luby, Horticultural Science
 Licensees: Schlabach's Nursery and Orchard Non-Exclusive *Plant License Agreement*
 Pro Tree Nursery
 Non-Exclusive *Plant License Agreement*
5. Title: **Bifidobacteria and Methods of Use**
 Purpose: Provides *Bifidobacterium* strains that secrete a siderophore, and methods for inhibiting the replication of organisms in the gastrointestinal tract of an animal and in food.
 Inventor: Daniel J. O'Sullivan, Food Science and Nutrition
 Licensee: Protein Scientific, Inc.
Research Agreement
6. Title: **Apple Tree: Honeycrisp**
 Purpose: An apple tree with moderately vigorous growth, a superior fruit with a crisp and juicy fruit texture, an extended season of harvest, and good hardiness with little winter injury.
 Inventors: David S. Bedford, James J. Luby, Horticultural Science
 Licensee: Eldorado Orchards and Nursery
Non-Exclusive Plant License Agreement
7. Title: **Novel Attachment Chemistry for Silicon**
 Purpose: A chemical approach for the covalent assembly of organic molecules on silicon surfaces, via robust linkages applicable for the assembly of a variety of functional organic molecules under vacuum environment or in solution phase.
 Inventors: Xiaoyang Y. Zhu, Chemistry; Hongjun Yang, non-U
 Licensee: MicroSurfaces, Inc.
Exclusive License Agreement
8. Title: **Monoclonal Antibody P1H12**
 Purpose: A murine IgG monoclonal antibody, raised against human umbilical vein endothelial cells that reacts specifically with endothelial cells of humans and animal species and reacting with no other cells in human blood or marrow, or in tissues tested.
 Inventors: Robert P. Hebbel, Medicine; Elizabeth A. Wayner, Laboratory Medicine and Pathology
 Licensee: Abbott Laboratories
Non-Exclusive License Agreement
9. Title: **Imaging Methods for Visualizing Implanted Living Cells**
 Purpose: Relating to non-invasive imaging methods for visualizing implanted living cells and for assessing the metabolic and physiologic viability of implanted living cells and their progeny.
 Inventors: John Kucharczyk, Radiology; Michael E. Moseley, non-U
 Licensee: Cytogenesis, Inc.
Exclusive License Agreement
10. Title: **Statewide Tobacco Endowment Process Evaluation Study (STEPES)**
 Purpose: A monitoring instrument that will be used to collect, process, or monitor data from approximately 80 local level programs and community health service (CHS) agencies funded by Minnesota tobacco endowments.
 Inventors: Therese M. Blaine, Margaret Rowe, Division of Epidemiology
 Licensee: St. of Minnesota, Department of Health
Non-Exclusive Software License Agreement
11. Title: **Standardized Test for Dysphagia**
 Purpose: A method for evaluating the severity of Dysphagia, which is difficulty in swallowing causing choking, aspiration of food or liquid into the lungs, incomplete administration of medication, and discomfort to the victims.
 Inventors: Carlos Aguilar, Zata M. Vickers, Food Science and Nutrition; Donald L. Tymchuck, non-U
 Licensee: SOTA TEC Fund
Exclusive License Agreement
12. Title: **Fast MRI for Assessment of Myocardial Perfusion with Arrhythmia Insensitive Magnetization Preparation**
 Purpose: A preparation scheme that produces T1 contrast with insensitivity to arrhythmias in prospectively triggered sequential imaging.
 Inventors: Michael G. Garwood, Nikolaos V. Tsekos, Kamil Ugurbil; Radiology
 Licensee: GE Medical Systems
Non-Exclusive License Agreement
13. Title: **Stable, Ultra-Low Residence Time Partial Oxidation**
 Purpose: A process for the catalytic partial oxidation of methane in gas phase at very short residence time.
 Inventors: Daniel A. Hickman, Lanny D. Schmidt, Chemical Engineering and Materials Science
 Licensee: Shell Oil Company
Non-Exclusive License Agreement
14. Title: **DairyCHAMP® 3.0 Dairy TQM™**
 Purpose: A computerized information system designed for record keeping, herd management, and herd health monitoring for dairy farms.
 Inventors: Robert H. Craven, Kevin S. Klair, Rann R. Loppnow, Dale W. Nordquist, David W. Nordquist, D. Wynn Richardson, Andrew W.D. Whyte, Applied Economics; Jeffrey K. Reneau, Animal Science
 Licensee: Agricultural Information Management, Inc.
Exclusive Copyright License Agreement

More Information

To generate copies of NIH application forms, please go to EGMS at <http://nirvana.ospa.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>. NSF program information is at <http://www.nsf.gov/pubs/2000/nsf002/start.htm>. NSF requires FastLane submission at <http://www.fastlane.nsf.gov>.
(For help, call the EGMS help line at 612.624.1600.)

For funding searches

Please contact the Office of the Vice President for Research
612.625.7585; facgrant@gold.tc.umn.edu
<http://www.research.umn.edu/research.html>.

Minnesota Humanities Commission**Works in Progress Scholar Grants**

Provides individual scholars up to \$2,500 in support of research and writing that will reach a public audience. Supports expenses such as travel, publication submission, or other expenses connected with humanities research and its publication. Applications must include at least one writing sample.

An application draft is due April 6, 2001, with final applications due May 4, 2001. Go to <http://www.thinkmhc.org>.

Minnesota Obesity Center**Pilot and Feasibility Program**

To provide seed money to attract new investigators, junior or established, into the study of obesity. Funding is at a maximum of \$20,000 per year for one year, with an option for a second year.

Letters of intent are due April 1, 2001; final proposals are due July 1, 2001. For more information contact Kate Welch, 612.727.5698. Web site is <http://www1.umn.edu/mnoc/>.

National Science Foundation**Internships in Public Science Education**

Will provide support for undergraduate and graduate students and K-12 teachers to work in conjunction with Mathematical and Physical Sciences (MPS) research scientists, and with professionals at science centers and museums, on projects in public science education. Awards will be made for up to three years; a total of \$1 million will be available for eight to ten awards in FY 2001.

The submission deadline is April 2, 2001. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0138>.

Pan-American Advanced Studies Institutes Program

Pan American Advanced Studies (PASI) are short courses of two to four weeks duration involving lecturers of international standing at the advanced graduate and postgraduate level from the Americas. The aim is to disseminate advanced scientific and engineering knowledge and stimulate training and cooperation among researchers of the Americas in the basic physical, mathematical, or engineering disciplines.

Awards will be made for the purpose of organizing a PASI. The PI will be expected to provide leadership in fully coordinating the program and will be responsible for 1) the preparation of the scientific or engineering program, b) the selection of lecturers and

students, c) the administration of the meeting, and d) the publication of lectures and proceedings from the meeting.

The application deadline is April 15, 2001. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf1482>.

Children's Research Initiative

To support studies that increase understanding of cognitive, linguistic, social, cultural, and biological processes related to children's and adolescents' learning in formal and informal settings.

The next target date is July 15, 2001. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0146>.

Advancing Technologies in Housing

To improve the quality, affordability, durability, environmental performance, and energy efficiency of today's new and existing homes.

The application deadline is April 17, 2001. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0145>.

Brain Tumor Society**Basic Science Brain Tumor Research**

For basic scientific research on brain tumors directed at finding a cure. Any project with the potential to advance basic brain tumor research will be considered; clinical projects will not be funded.

The application deadline is April 3, 2001. Go to <http://www.tbts.org/resfund.htm>.

American Cancer Society**Grants for Research Directed at Poor and Underserved Populations**

Proposals must focus on poor or underserved populations, but may address a variety of behavioral, epidemiological, policy, health delivery, clinical and basic science issues. Interdisciplinary collaborations are encouraged.

There are two deadlines in 2001, April 1, and October 15. Go to <http://www2.cancer.org/research/index.cfm?sc=1&select1=1&ssc=2>.

(Verfaillie continued from page one)

The institute includes lab space for 13 new scientists including an embryonic - stem cell researcher to compare embryonic and adult stem cells. The institute will also set up clinical trials and arrange an ethics panel including national and international ethicists and physicians to help form policies.

"The University of Minnesota made it possible to create the Stem Cell Institute where I am actively recruiting faculty to do stem cell research which should multiply our efforts enormously," said Verfaillie.

Ethics Conference

What: The University of South Florida and National Institutes of Health are offering:

Ethics in Research: An Intensive Training Course Focusing on Behavioral Health Sciences

This course is designed to better equip researchers to conduct ethically responsible behavioral health research. Issues to be addressed include: informed consent, decisional capacity and competency, diversity and multicultural perspective, emotional health of research participants, confidentiality and privacy, data ownership, and coercion.

When: June 4 - 7, 2001 at St. Pete Beach, Florida; Applications are due March 15

Contact: Go to www.fmhi.usf.edu/mhlp/ethics/ethics.html for detailed information and a registration application. Contact Kelly M. Lyon at 813.974.7623 or Lyon@fmhi.usf.edu with questions.

Staff Updates

Teresa Harrold of Sponsored Financial Reporting and Tove Jespersen of Sponsored Projects Administration retired last month after both had served the University of Minnesota community for over 20 years.

Harrold worked as a principal accounts specialist and Jespersen as editorial assistant for the Research Review.

We would like to congratulate them and wish them well in their retirement.

Reminder

Designing Research for Change Conference:
Feb 22-24 at the University of Minnesota.
Call Brooke Manisto at 612-625-4265.

Technology Transfer Agreements

[continued from page 8]

15. **Title:** **Hematography Plus**
Purpose: Hematography Plus is an interactive CD-ROM tutorial and atlas of blood and bone marrow morphology, designed as a visual resource for medical practitioners.
Inventors: Karen G. Lofsness, Laboratory Medicine and Pathology
Licensee: Univ. of MN, Laboratory Medicine & Pathology
Non-Exclusive Copyright License Agreement
16. **Title:** **Algebraic Recursive Multilevel Solver**
Purpose: A software package for solving large sparse linear systems of equations that arise in almost every large scale scientific and engineering simulation.
Inventor: Yousef Saad, Computer Science and Engineering
Licensee: Boeing Commercial Airplane Group
Non-Exclusive Software License Agreement
17. **Title:** **MNREAD Reading Acuity Chart – Italian Version**
Purpose: The MNREAD acuity charts are used to measure three aspects of reading vision: reading acuity, critical print size, and reading speed, and are intended for visual assessment, especially for individuals with impaired vision.
Inventors: Gordon E. Legge, J. Stephen Mansfield, Psychology; Gianni Virgili, non-U
Licensee: Gianni Virgili
Exclusive Copyright License Agreement
18. **Title:** **Plasma-Annealed Membrane for Protein Separation**
Purpose: Improved porous polymeric membranes useful in fractionations and separations involving protein-containing fluids.
Inventors: Eric D. Bastian, Srinivas Somayajula, Food Science and Nutrition; Hiroshi Nomura, non-U
Licensee: SOTA TEC Fund
Exclusive License Agreement
19. **Title:** **Odor Removal System and Method Having Ozone and Non-Thermal Plasma Treatment**
Purpose: An odor removal system.
Inventors: Paul Ling Chen, Shaobo Deng, Philip R. Goodrich, Hongbin Ma, Rongsheng Roger Ruan, Ye Wang, Biosystems and Agricultural Engineering
Licensee: SOTA TEC Fund
Exclusive License Agreement
20. **Title:** **Sensor Array**
Purpose: The invention may be used for remote linear determination of temperature profiling in industry and other applications where temperature must be monitored to increase productivity, abide by regulatory restrictions, or monitor system processes.
Inventors: Robert M. Carlson, Anatoly Skirda, Viktor Slobodyan, Chemistry, Duluth; Christopher J. Owen, Alexander Tokhtuev, Eugene G. Tokhtuev, Natural Resources Research Institute, Duluth
Licensee: SOTA TEC Fund
Exclusive License Agreement

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Indirect cost and other rate development	Steve Bradley	626.9895 bradl011@tc.umn.edu
Effort help line		612.625.7824 effort@tc.umn.edu
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MIS coordinator; <i>Levels & Trends</i> , proposal & award data	Mary Bendtsen	624.0583 mbendtse@tc.umn.edu
Duluth, Office of Research & Technology Transfer		
St. grant and contract administrator	Jim Loukes	218.726.7583 jloukes@ub.d.umn.edu
St. grant and contract administrator	Janice Sakry	218.726.6593 jsakry@d.umn.edu
Morris, Grants Development, http://www.mrs.umn.edu/services/grants		
Director	Tom Mahoney ..	320.589.6462 mahoney@mrs.umn.edu
related numbers		
Sponsored Financial Reporting, fax: 612.626.0321; web: http://www.sfr.umn.edu		
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Instructions on Changing Addresses

SPA cannot change the faculty mailing list. It is a list we *buy* monthly.

Human Resources generates the list and departments must initiate changes by contacting their departmental payroll person or Human Resources coordinator.

For changes to our supplemental mailing list, please complete the following and send it to the address below:

Change Name: _____
Add Department: _____
Delete Building & Room No.: _____
Mail Delivery Code (if on campus): _____
City, State, Zip (if off campus): _____

TO: Danielle Billington
Sponsored Projects Administration
450 Gateway Building
200 Oak Street
Minneapolis, MN 55455



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Research Review



Sponsored Projects Administration
Patents and Technology Marketing
Oversight Analysis and Reporting

March 2001

Volume XXX, Number 9
<http://www.ospa.umn.edu/resrev.htm>

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Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of the month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, erick210@tc.umn.edu.

New Associate Director of Sponsored Projects Administration

The University of Minnesota recently hired Sheryl N. Goldberg, MBA as the new associate director to direct operations for Sponsored Projects Administration (SPA). Prior to her arrival at the University, Goldberg was in research administration at Harvard



University, the University of Medicine and Dentistry of New Jersey, and most recently, the University of Arkansas for Medical Sciences.

"We're excited to have Sheryl on board. Her experience and skills will make her an asset to our research community," said Ed Wink, associate vice president for research.

While at the University of Arkansas, Goldberg served as director of research administration, which included the Institutional Review Board (IRB). She mediated the grants process for faculty, and provided oversight for \$76 million in grants and 1750 active IRB protocols.

"The University of Minnesota has the raw materials in place to launch the new grants management model that will set the standard for grant administration; specifically successfully funded researchers, experienced administrative staff, and a progressive attitude towards the development of research infrastructure," said Goldberg.

Reminder

Sponsored Projects Administration staff remind principal investigators preparing proposals for the April 1, 2001 deadline to submit their proposals prior to March 30th. University offices will be closed on Friday, March 30 for the University spring holiday.

Some of her plans include re-engineering processes in SPA, implementing training programs on current issues in research administration, and reinforcing bridges among SPA, Sponsored Financial Reporting, Patents and Technology Marketing, and above all, with research faculty.

"We want to provide tools to assist faculty in finding funding opportunities, as well as help them better understand the research grants process. We are particularly interested in finding support for junior faculty, women faculty, and minority faculty", added Goldberg.

(continued on page three)

RESEARCH REVIEW

Volume XXX, Number 9

March 2001

Editor: Bruce Erickson

Editorial Assistant: Tove Jespersen

Associate Vice President: Ed Wink

Research Review is a monthly publication of the Office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 450 Gateway Building, 200 Oak Street SE, Minneapolis, MN 55455-2070, or call Bruce Erickson, 612.625.2354, erick210@tc.umn.edu, or Tove Jespersen 612.624.0061, tove@tc.umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New rates effective July 1, 2001

TA, RA, AF: standard of gross salary	\$6.24	+	15.4%
TA, RA, AF: advanced master's or Ph.D.	\$1.04	+	15.4%
Summer session semester TA, RA, AF	—		15.4%
Summer session TA, with tuition	\$14.78	+	15.4%
Summer session TA, without tuition	—		15.4%
Professional program assistant	—		15.4%
Dental fellow *	\$4.45		—
Medical fellow *	\$3.12		—

To the rates listed above, add 7.7% to the 15.4% when a graduate student is enrolled for fewer than three credits, or less than one credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. This is a change from previous years.

For more information about GA job classes and fringe rates, contact George Green, associate dean of the Graduate School 612.625.7368, green007@tc.umn.edu.

Other Job Classes

	Civil Service	Academic	Post-doc class #9546	Graduate Assistant
7/1/00 - 6/30/01	27.7%	27.5%	15.4%	17.5%
7/1/01 - 6/30/02	31.4%	31.2%	18.8%	23.1%
7/1/02 - 6/30/03 projected	34.4%	32.8%	20.4%	24.1%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009. Complete details of fringe benefit rates for all classes of UM employees are available at http://process.umn.edu/groups/ppd/documents/rates/fringe2000_01.cfm.

Rate changes will be reflected in this section.

Facilities & Administrative (F&A) (Indirect Cost) Rates

The rates listed at right come from the University's most recent F&A/indirect cost agreement, dated **December 16, 1999**. This date should be used where required on applications.

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration at 612.624.5599. If you have questions on F&A/indirect cost rate development, please call Steve Bradley, 612.626.9895.

* A project is considered off-campus if more than 50 percent of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University.

Research (MTDC base)

On-campus	48.00%	FY 2000
	48.50%	FY 2001-03
Off-campus*	26.00%	FY 2000-03

SAFL on-campus	59.00%	FY 2000-03
SAFL off-campus*	26.00%	FY 2000-03
Hormel on-campus	50.00%	FY 2000-03
Hormel off-campus*	26.00%	FY 2000-03

Other Sponsored Activity (MTDC base)

On-campus	32.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

Instruction (MTDC base)

On-campus	52.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

The entire agreement may be found at http://www.fpd.finop.umn.edu/groups/ppd/documents/rates/f_and_a_rates.cfm.

MTDC (Modified Total Direct Cost):

Total direct cost minus:

- graduate student fringe benefits
- equipment
- capital expenditures, e.g., new building construction
- charges for patient care
- tuition remission
- rental costs of off-site facilities
- scholarships and fellowships
- the portion of each subgrant and sub-contract in excess of \$25,000 per project period

For more information on equipment and subgrants and subcontracts in excess of \$25,000, see the April 1999 *Research Review*, or go to <http://www.ospa.umn.edu/resrev.htm>.

National Institutes of Health Exceptional Designation Removed

Last month, Christine Maziar, vice president for research and dean of the Graduate School, and Gail L. Klatt, associate vice president for Internal Audits, received the following from Wendy Baldwin, deputy director for Extramural Research, National Institutes of Health:

...Effective immediately, NIH is removing the University's exceptional designation.

We commend the University on its efforts and commitment in implementing corrective actions to improve the quality and effectiveness of its sponsored programs administration. We also laud the University's candor in publicly acknowledging its deficiencies in this area; the University's willingness to share lessons learned has been a significant benefit to the biomedical research community at large.

National Institutes of Health NIH Releases New Grants Policy Statement

The National Institutes of Health (NIH) issued a new Grants Policy Statement (GPS) effective March 1, 2001. The new GPS makes the policy requirements that serve as the terms and conditions of NIH grant awards available to NIH grantees in a single document. NIH also uses the GPS to provide information about its organization, staff, and grants process.

The GPS is set up in three parts:

- the first part includes general information about NIH and its grant application and review processes;
- the second part provides standard terms and conditions of NIH grant awards as well as terms and conditions that apply to particular types of grants/grantees/activities differing from or supplementing the standard terms and conditions;
- the third part includes a listing of pertinent offices and officials with their addresses and phone numbers.

This revision of the GPS is effective for all NIH grants and cooperative agreements for budget periods beginning on or after March 1, 2001, and supercedes the October 1998 GPS in its entirety. It remains largely unchanged; however, it incorporates several new and modified requirements, clarifies certain policies, and emphasizes policies that require increased attention by grantees on the basis of recent developments.

Among the changes are those published since October 1998 as notices in the NIH Guide for Grants and Contracts (NIH Guide). An explanation of the major changes from the GPS that has been in effect since October 1, 1998 is included in the NIH Guide notice announcing the re-issuance of the NIHGPS.

Both the GPS and the NIH Guide are available on-line through the NIH Home Page at <http://www.nih.gov> and clicking on the link "Grants and Funding Opportunities." To find the GPS, click on the "Grants Page," and then click on "Grants Policy." To find the NIH Guide, click on "NIH Guide for Grants and Contracts."

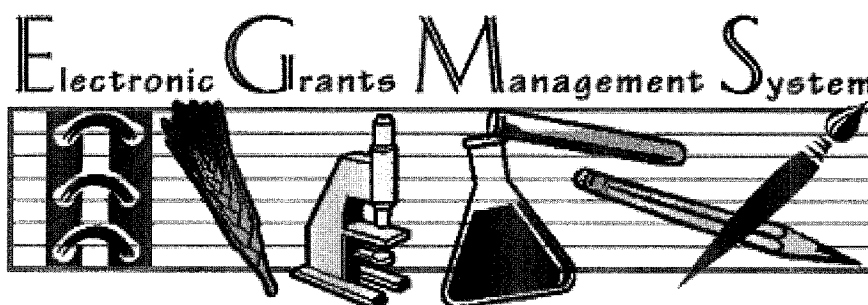
Goldberg

(continued from page one)

Goldberg is maintaining an open door policy. "Please come by my office in the McNamara Alumni Center, call, or introduce yourself if you see me on campus. I am looking forward to getting to know the University research community."



Goldberg's Reception



Enhanced AREPA Form Supports Disclosure Requirements

Improved data entry and approval features aid compliance with Regents policy

The EGMS "A Report of External Professional Activities" (AREPA) is an online version of the paper Form 15 that was used at the University for many years. As in the past, faculty and professional and academic (P & A) staff are required (by the Regents Policy on Conflict of Interest; see the URL on page five) to complete this form at least once a year. In addition, a new AREPA form must be completed whenever, throughout the year, substantial changes have occurred in the employee's financial or business interests that may pose a potential conflict of interest. Regents policy also requires disclosure of financial or business interests to the University when submitting proposals for sponsored research, when receiving financial contributions, and when involved with technology transfer. Federal guidelines also require such disclosures when submitting research protocols to the Institutional Review Board (IRB).

To facilitate the many required uses of AREPA submissions and to enhance the University community's compliance with Regental and federal policy and regulation, the EGMS AREPA form has been improved to simplify both data entry and form approval. This article provides a reminder of the policies governing potential conflicts of interest and their disclosure, lists the new features of the EGMS AREPA form, and provides a list of resources related to EGMS and the AREPA.

Requirements for AREPA filing

When a faculty or staff member reports external professional activities on the AREPA, the University can ensure that these activities are reviewed and are com-

patible with the employee's primary duties at the University. If the faculty or staff member indicates on the AREPA that the activities have the potential for a conflict of interest, the University can work with the individual to manage the potential conflict whenever possible. The new online tools, available March, 2001, allow the University to streamline the identification and resolution of potential conflicts of interest.

A faculty or staff member may also file an AREPA form to fulfill the reporting requirements of the Regents Policy on Outside Consulting, Service Activities, and Other Work; see the URL on page five. Faculty and staff members should use the online ROC (Request for Consultant or Outside Service Agreement; also available through EGMS) form to secure prior approval for consulting and external service, as required by Regents policy.

With the new tools in place, if an individual has filed at least one AREPA during the reporting year (September 1, 2000-August 31, 2001 for the current year), he or she will not be required to file a form at the end of the reporting year. Those who did not file an AREPA at any time during the year need to submit an end-of-year form (even if there are no external activities to report).

New features of the EGMS AREPA

Data entry simplifications or enhancements:

- EGMS draws appointment information from the PeopleSoft® database to fill the required demographic information fields at the top of the form.

- Preparers can now report activities in fractional days.
- EGMS partially fills the required approval names, based on the demographic data at the top of the form. At a minimum, EGMS provides the appropriate collegiate or unit approver. If EGMS provides a blank field for a department head or director approver, the Preparer must enter that data for the form to pass audit.

Approvals, compliance, and form tracking:

- Each time an AREPA has an approval signature attached or is returned to the form's Preparer, EGMS sends both the Preparer and the individual listed at the top of the form an e-mail message regarding the change in the form's status. Faculty and staff who do not want to receive such messages may turn off the EGMS e-mail notification feature.
- Approvers can batch-approve, in a single step, forms on which no external activities are reported. This option, while available for all Approvers, is designed to facilitate the large number of approvals required at the department and collegiate/unit level.
- Approvers can use EGMS to refer a form to another Approver or to the Conflict Resolution Committee for further review prior to affixing their approval signature. This feature provides an electronic version of the business process that had been performed manually with the paper Form 15.

(next page)

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- For collegiate/unit oversight, users can generate reports listing all the forms in a college or unit; users can also conduct searches by reporting year.
- At a later date, EGMS system administrators will initiate a process to delete partially completed AREPAs (with Returned Status) that are more than six months old. This process will improve the quality of data on collegiate or department reports that administrative offices need to generate.

Additional resources

Additional information about the AREPA (including instructions for preparing and reviewing AREPAs using the new features mentioned in this article) is posted on the EGMS Web site, at <http://nirvana.ospa.umn.edu/nirvana/form-help/AREPA.html>.

For policy-related AREPA questions, contact your department's Human Resources representative. You can find contact information for your representative at <http://www1.umn.edu/ohr/st/main/hrpros/bydept.htm>.

Regents Policy on Outside Consulting, Service Activities, and Outside Work:
<http://www1.umn.edu/regents/policies/academicOutsideConsulting.html>

Regents Policy on Conflict of Interest:
<http://www1.umn.edu/regents/policies/academic/ConflictofInterest.html>

EGMS Home Page:
<http://nirvana.ospa.umn.edu>

EGMS technical assistance:
612.624.1600
egms@boombox.micro.umn.edu

Notice

Institutional Biosafety Committee

New Institutional Biosafety Committee (IBC) forms are available online at <http://www.abc.umn.edu>. They have better instructions designed to avoid delays. Old forms will not be accepted after April 1, 2001. Please download the form each time you need one, as they will continue to be modified.

University researchers are required to submit forms to register and obtain approval of the Institutional Biosafety Committee for all work described below.

- All recombinant DNA and Artificial Gene Transfers:** including gene therapy clinical trials and the creation of transgenic animals. The Biological Safety Officer will approve projects or place them on the agenda for committee review.
Submit: *Recombinant DNA and Artificial Gene Transfer Form*.
- Infectious Agents** (organisms in risk group two or above): This includes a broad spectrum of organisms able to cause human disease. To find out what organisms are risk group two or above, consult appendix B of *NIH Guidelines for Research Involving Recombinant DNA Molecules* at <http://www4.od.nih.gov/oba/apndxb.htm>.
Submit: *Infectious Agent Usage Form*.
- Biologically Derived Toxins:** Examples include endotoxins, staphylococcus enterotoxins, saxitoxin, cholera toxin, botulinum toxin, ricin, abrin, venoms, etc.
Submit: *Biological Toxin Usage Form*.

How to Apply for Review and Approval

To initiate the review process, University researchers must submit biosafety form(s) to the IBC office prior to beginning the research. Obtain the new forms by downloading them from the link listed above or by calling Bhuma Krishnamachari, IBC office, 612.626.2145.

Please follow the instructions for completing the forms carefully. The following items *must* accompany the completed form:

- A brief description of the project including purpose and techniques. Do not send the entire grant unless requested. Explain technical jargon and abbreviations.
- Identification of potential hazards, such as aerosol generation, use of sharps, excretion by animals, etc.
- Safety procedures that will be employed to minimize risk, such as protective clothing, use of biological safety cabinets, sharps disposal safety, etc. These procedures must be specific to your work, appropriate for posting in the lab, and useful for staff training. Downloading large chunks of safety protocols from CDC/NIH publications without modifying them is not acceptable.
- Accidental spill and/or exposure procedures, also specific to the project.
- All additional items as requested on the form, e.g., genetic maps. Explanation of any anticipated biological containment built into recombinant DNA will be appreciated.

Once the forms are received, the biosafety officer may approve the project or place it on the agenda for review by the IBC. The IBC generally meets once per month to review projects. Materials are mailed to committee members one week prior to the meeting date. Often the principal investigator is invited to attend an IBC meeting to summarize the project and answer questions. The committee may request modification of procedures and may direct the biosafety staff to inspect labs or other facilities.

Researchers are reminded that work may not be started until IBC approval is granted.

Future meetings dates are tentatively March 19, April 23, May 21, and June 18.

How the University will Verify PI Eligibility

Beginning March 19, 2001, any individual named as principal investigator or co-principal investigator on a sponsored project must have met educational requirements determined by the Office of the Vice President for Research. These requirements can be found at: www.research.umn.edu/training/. This policy, as codified by the Regents Policy on *Principal Investigator Eligibility on Sponsored Projects*, has been the cornerstone of the University's program on Responsible Conduct of Research (RCR).

Numerous groups, including the Council of Research Associate Deans, Sponsored Projects Administration (SPA), and the Vice President for Research, have collaborated to finalize procedures for implementing the Regents policy. The process is outlined below:

Education verification at proposal time

When proposals are processed at SPA, staff members in that office will check the RCR Education Database to determine whether the PI has met the education requirements. If any part of the requirements have not been met, SPA will send a notice to the PI, RCR Coordinator, and collegiate and departmental officials. This notice will inform these individuals that SPA processed the proposal and forwarded it to the sponsor, however educational requirements must be met before any award will be processed. This notice also provides details for the instructions summarized below.

If PIs receive notice that they have not met the requirements

- If a PI receives the notice that he or she has not met the requirements, the PI should verify the information in the database. The database can be found at: <http://nirvana.ospa.umn.edu/rcr>.
- If the PI needs information about the requirements, this information is available on the Vice President for Research's education website at: <http://www.research.umn.edu/training/>. If the PI attended sessions in the past, the equivalency grid on this web site will tell investigators how to meet the requirements.

Attending education sessions to meet the requirements

- Dates and registration information for RCR sessions are available at: <http://www.research.umn.edu/training/>. After the PI attends the appropriate session, he or she will receive a confirmation email from the Vice President for Research. Staff members will also update the RCR Education Database.

Education Verification at award time

When SPA receives awards, staff members will check the RCR Education Database to determine the eligibility status of any PI who did not meet the educational requirements at proposal time. If the PI has met the requirements, the award will be processed as usual. If the PI still has not met the requirements, SPA staff will send a notice to that individual that, in accordance with Regents policy, the award cannot be processed. This notice will be copied to the RCR Coordinator and collegiate contact, department head, research associate dean, Vice President for Research, and office of Oversight, Analysis, and Reporting. This notice also provides details for the instructions summarized below.

If PIs receive notice that SPA will not process the award

- If a PI receives a notice that SPA will not process the award because he or she has not met the requirements, the PI should verify the information in the database. The database can be found at: <http://nirvana.ospa.umn.edu/rcr>.
- The PI must then register to attend the next available RCR session. Again, dates and registration information are available at: <http://www.research.umn.edu/training/>. In highly unusual, extenuating circumstances, temporary relief to the eligibility require-

ments may be available to the PI, but requires approval of the Vice President for Research, and the PI's department head and dean.

Pre-award or advance spending

Remember that work on a sponsored project cannot begin until an advance or pre-award account is established. Because elements of the required education extend beyond financial issues, these accounts will not be set up for grants or contracts if the PI has not fulfilled RCR education requirements at the time the advance or pre-award account is requested.

For further information about this process

For further information about the RCR educational requirements and the process for verifying PI eligibility, please contact Peggy Sundermeyer, RCR Coordinator, at rschrng@umn.edu.

Reminder:

Account Number Required to Start Project

Any project-related expense, salary or nonsalary, that is incurred before the project has been assigned a CUFS account number **cannot** be later transferred to the sponsored account. To charge costs before the award is fully executed, principal investigators must obtain a pre-award or advance account number. This number will then become the project's account number once the award process is completed.

This policy regarding transferring pre-award or advance award expenses is part of the University's policies on processing internal accounting transactions and charging sponsored project costs before the award. For detailed instructions on obtaining a pre-award or advance account, see the University policy and its related procedures at: http://www.fpd.finop.umn.edu/groups/ppd/documents/policy/Preaward_Policy.cfm.

Certified Approver Examination Schedule

on the web at <http://www.oar.umn.edu/CA/schedule.htm>

March – June 2001

Preregistration Required

Please call 612.625.9057 with questions about the Certified Approver Program

Locations are subject to change

<u>Date</u>	<u>Day</u>	<u>Part</u>	<u>Start</u>	<u>Location</u>
March				
12	Monday	2	9:00 a.m., 1:00 p.m.	9 Eddy Hall
22	Thursday	1	9:00 a.m. only	9 Eddy Hall
April				
9	Monday	2	9:00 a.m., 1:00 p.m.	9 Eddy Hall
26	Thursday	1	9:00 a.m. only	9 Eddy Hall
May				
14	Monday	2	1:00 p.m. only	9 Eddy Hall
24	Thursday	1	9:00 a.m. only	9 Eddy Hall
June				
4	Monday	2	1:00 p.m. only	9 Eddy Hall
21	Thursday	1	9:00 a.m. only	9 Eddy Hall

Environmental Health Training

The Department of Environmental Health and Safety's "Preventing Employee Exposure to Bloodborne and Other Pathogens" training is now available online.

The training, which is about 25 minutes long, may be taken in lieu of watching the bloodborne pathogens video. Participants will be asked interactive questions throughout the training, and will take a quiz at the end to test comprehension. With a passing score, participants will then be able to print off a Record of Training form to be filed with their departments.

Access the training at <http://www.dehs.umn.edu/training/bloodborne/>. The video is still available for those who would prefer to get their training this way, by calling 612.626.6002.

What's New in Grants Management

An index to Changes and Announcement

March 2001

(month nine of UM fiscal year 2001)

SPA Update 0108: Revised Managing Sponsored Projects Manual
 Notice Issued: 2/28/01
 Supersedes: 8/00 version
 Effective date: 2/01
 Change: The sponsored projects manual has been revised.
 Action to take: Go to <http://www.ospa.umn.edu/manual/revision.htm>. Print out the new pages and substitute them for the appropriate pages in your printed manual.

SPA Update 0109: Principal Investigator Eligibility Educational Requirements Become Effective
 Notice Issued: 11/12/99
 Supersedes: 5/15/80 policy
 Effective date: 3/18/01
 Change: PIs must meet educational requirements to be eligible to serve as principal investigators on sponsored projects.
 Action to take: See related article on page six.

American Cancer Society Institutional Research Grant

The American Cancer Society (ACS), through the University Dean's Committee for the ACS Institutional Research Grant and the University of Minnesota Cancer Center, announces the availability of individual Institutional Research Grants. The stated goal of the American Cancer Society is to "foster meritorious research on cancer that cannot be supported through other available types of support." The purpose of the individual grants is to provide "seed" money to permit the initiation of promising new projects or novel ideas by junior faculty investigators.

The amount of the individual award is up to \$20,000 in direct costs. Eligible applicants must be faculty members at the level of assistant professor or instructor and must not have received a prior ACS Institutional Research Grant or have a current competitive national research grant.

Grants are available to anyone engaged in cancer-related research at the University of Minnesota who meet the above criteria. Cancer-related research includes analysis of developmental biology, gene regulation, or alteration of intracellular or extracellular processes which may lead to an improved understanding and/or therapy of potential or actual oncogenic events in prokaryotic or eukaryotic cells.

The application deadline is April 1, 2001. Instructions and application forms are available from the University of Minnesota Cancer Center, Room 460, Cancer Center Research Building, or by calling 612.626.1926.

University of Minnesota Office for University Women

The Office for University Women will award grants for projects which further the goal of creating an inclusive and diverse University community with an enhanced campus climate for women faculty, staff, and students. Special consideration will be given to projects that further the goals of the National Agenda for Women in Higher Education in the areas of teaching/learning/research; work/life; partnerships/outreach/and leadership in a new century.

The minimum grant award is \$100, the maximum is \$1,000. The application deadline is March 23, 2001. More information is available at <http://www1.umn.edu/women/grants/specialgrants.html>.

University of Minnesota Minnesota Obesity Center

The goal of the Pilot and Feasibility Studies Program is to provide seed money to attract new investigators, junior or established, into the study of obesity.

Funding is at a maximum of \$20,000 per year for one year, with an option for a second year dependent on demonstrated productivity and need. Recipients will have access to additional technical support through the Core System of the Obesity Center.

Examples of services provided include:

- 1) DNA sequencing at minimal cost;
- 2) Access to the Eating Disorders Research Clinic;
- 3) Services provided by the Data Collection and Services Center, the Nutrition Coordinating Center, and the Laboratory of Physical Hygiene;
- 4) State-of-the-art methods for studying energy metabolism and nutrient partitioning at the whole body level in humans and rodents.

Eligible applicants are junior investigators beginning their research career focusing on obesity, or senior investigators for whom obesity research is a change of direction.

Letters of intent are due April 1, 2001; final proposals are due July 1, 2001. For more information contact Kate Welch at, 612.727.5698. Letters of intent should be mailed to Ms. Welch at the Minnesota Obesity Center. Web site is <http://www1.umn.edu/mnoc/>.

More Information

To generate copies of NIH application forms, please go to EGMS at <http://nirvana.ospa.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>.

NSF program information is at <http://www.nsf.gov/pubs/2000/nsf002/start.htm>.

NSF requires FastLane submission at <http://www.fastlane.nsf.gov>.

(For help, call the EGMS help line at 612.624.1600.)

For funding searches

See the Funding Sources section of SPA's web page at <http://www.ospa.umn.edu/>. Grantseekers can search for additional funding opportunities via SPIN, a grants database, on SPA's web site at the URL listed above. If you encounter difficulty connecting to the SPIN database, please contact facgrant@umn.edu or call 612.625.7585 to resolve the problem.

Consortium for Plant Biotechnology Research*** 2001 Competition**

The application deadline is **March 21, 2001**. Questions may be directed to Dr. Jean Tuech, Research Grants Coordinator, 912.638.4900, cpbr@gate.net. Go to <http://www.cpbr.org>.

National Science Foundation*** Presidential Awards**

This program identifies outstanding mentoring efforts that enhance the participation of under-represented groups in science, mathematics, and engineering. The awardees serve as leaders in the national effort to develop fully the nation's resources in these areas. Nominations are invited for the 2001 competition of these annual awards.

The application due date is **April 26, 2001**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf0154>.

*** Program for Persons with Disabilities**

To increase the number of people with disabilities employed in the nation's science, engineering, and technology work force. Projects supported should work to 1) bring about needed changes in academic and professional climates; 2) increase the awareness and recognition of the needs and capabilities of students with disabilities; 3) promote the accessibility and appropriateness of instructional materials, media, and educational technologies, and 4) increase the availability of student enrichment resources including mentoring activities.

Proposals are due **May 15, 2001**. Go to <http://www.nsf.gov/cgi-bin/getpub?nsf.0167>.

*** Increasing the Participation and Advancement of Women**

To increase the representation and advancement of women in academic science and engineering careers. Three types of awards are offered: 1) Fellows awards, 2) Institutional Transformation awards; and 3) Leadership awards.

Institutional Transformation proposals and Leadership proposals are due **May 8, 2001**. Fellows Proposals by directorate are: August 21, Biological Sciences; August 22, Computer and Information Science and Engineering, Education and Human Resources, Engineering; August 23, Geosciences, Office of Polar Programs; August 24, Mathematical and Physical Sciences; Social Behavioral and Economic Sciences.

National Collegiate Inventors and Innovations Alliance*** Grants for Student Teams**

NCIIA grants help student teams to:

1) develop and prototype new products and technologies with commercial potential; 2) research the market and develop a business plan; 3) perform patent searches; and 4) purchase equipment supplies.

Deadlines this year are **May 15**, and **December 15**. Go to <http://www.nciia.org>.

National Institute of Justice*** Forensic DNA Research and Development**

For research to enhance or increase the capacity, capability, and reliability of DNA for forensic uses. Areas and issues of emphasis include high-throughput databasing and customized case work analysis, and developing methods of technologies that address the needs of databasing and that can be used to analyze crime scene samples that often are limited in quality and quantity.

The application deadline is **March 30, 2001**. Go to <http://222.ojp.usdoj.gov/nij>. Refer to SL 000461.

Environmental Protection Agency*** Clean Air Transportation Projects**

For pilot projects with high potential to spur innovations in reducing transportation-related emissions and local and national vehicle travel. Awards will support voluntary activities to improve community designs, promote transportation innovations, develop and implement incentives and make more efficient use of transportation systems, cleaner fuels and vehicles. Proposals must address the causes, effects, extent, prevention, reduction, and elimination of air pollution and include activities such as research, investigations, experiments, and demonstrations.

An informal letter of intent is due **March 14, 2001**; full proposals are due **April 24**. Go to <http://www.eoa.giv.itaq>. Click on "What's New."

U.S. Department of Agriculture

* Future Agriculture Grants

For research, extension, and educational grants addressing broad program categories, including an array of subtopics that address many disciplines. Examples include the social and economic aspects of biotechnology, consumer food choices, and development of genomic tools for agriculturally important plant species.

Letters of intent are due **March 23, 2001**; full proposals are due **April 23** for project proposals and multidisciplinary graduate education traineeship applications, and **June 1** for critical and emerging issues proposals. To e-mail letters of intent: rfoil@reusda.gov. Go to <http://www.usda.gov/services.html>. Click on "Cooperative State Research Education and Extension Service."

Cystic Fibrosis Foundation

* Clinical Research Grants

To support clinical research projects directly related to cystic fibrosis treatment and care. Projects may address diagnostic or therapeutic methods related to CF or the pathophysiology of CF. Applicants must demonstrate access to a sufficient number of CF patients from accredited CF Foundation care centers and appropriate controls.

The application deadline is **June 1, 2001**. Go to <http://www.cff.org/research40.htm>.

Rockefeller Foundation

* Partnerships Affirming Community Transformation

Supports community cultural development projects undertaken by artists and other cultural professionals in collaboration with other community members to express identity, concerns and aspirations through the arts and media, building cultural capacity, and contributing to social change.

The application deadline is **June 15, 2001**. Go to <http://www.rockfound.org/99prog/creat/PACTTrfp2001.html>.

National Foundation for the Arts and Humanities

* Heritage and Preservation

To honor, assist, encourage, preserve, and present those forms of artistic expression and practice that reflect the many cultural traditions that make up the United States. Projects may include, but are not limited to: 1) Festivals, exhibits, publications, anthologies, and other presentation of artists and art forms that reflect and increase the public's appreciation for diverse cultural traditions; 2) Apprenticeships and other forms of instruction that pass artistic repertoire, techniques, and traditions on to future generations; and 3) The documentation, recording, or conservation of highly significant works of arts, artifacts, built or designed elements, collections of art, or of cultural traditions and practices.

The application deadline is **August 13, 2001**. Go to <http://www.arts.endow.gov/guide/Orgs02/OrgIndex.html>.

National Fish and Wildlife Foundation

* Challenge Grants

Supports conservation projects especially those that address one or more of the following: 1) habitat protection and restoration on private lands; 2) sustainable communities through conservation; and 3) conservation education.

It also supports challenge grants that 1) address actions promoting fish and wildlife conservation and habitats on which they depend; 2) work to involve other conservation and community interests; 3) leverage foundation provided funding; and 4) evaluate project outcomes.

The two deadlines for 2001 are **June 1** and **October 15**. Matching funds are required. Go to <http://www.nfwf.org/guidelines.htm>.

* Shell Marine Habitat Program

In partnership with Shell Oil, to fund a multi-year partnership of natural resource conservation projects in the Gulf of Mexico.

The two deadlines for 2001 are **June 1** and **October 15**. Go to http://www.nfwf.org/nfwf_shl.htm.

Cancer Research Institute

Predocctoral Training Grant

To establish a predoctoral emphasis pathway in tumor immunology. Funds are to be used to support predoctoral students pursuing research on tumor immunology-related projects approved by a coordinating committee established by the program director. The award is for \$450,000 to be paid out over four years.

The application deadline is **May 2, 2001**. Go to <http://www.cancerresearch.org/download.html>.

Poverty & Race Research Action Council

* Small Grants Program

To generate, gather, and disseminate information and resources regarding the intersections of race and poverty in the U.S., and to promote the development implementation of policies and practices that alleviate conditions caused by the interaction of race and poverty. Proposals must target research on the intersection of race and poverty and must be designed to be used in the service of concrete, specified advocacy agendas.

There is no application deadline; proposals are accepted on a **continuous basis**. Go to <http://www.prrac.org/grants.htm#guidelines>.

Fax number	612.624.4843	SPA's Website: http://www.ospa.umn.edu
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Instructions on Changing Addresses

SPA cannot change the faculty mailing list. It is a list we buy monthly.

Human Resources generates the list and departments must initiate changes by contacting their departmental payroll person or Human Resources coordinator.

For changes to our supplemental mailing list, please complete the following and send it to the address below:

Change Name: _____
Add Department: _____
Delete Building & Room No.: _____
Mail Delivery Code (if on campus): _____
City, State, Zip (if off campus): _____

TO: Danielle Billington
Sponsored Projects Administration
450 McNamara Alumni Center
200 Oak Street SE
Minneapolis, MN 55455



Made with agribased inks and at least 10 percent post-consumer waste.

UNIVERSITY OF MINNESOTA
Sponsored Projects Administration
450 McNamara Alumni Center
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Minneapolis, Minnesota 55455-2070

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Research Review



Sponsored Projects Administration
 Patents and Technology Marketing
 Oversight Analysis and Reporting

April 2001

Volume XXX, Number 10
<http://www.ospa.umn.edu>

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Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of the month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, erick210@umn.edu.

Update on RCR Program Verifying PI Eligibility

Any individual named as principal investigator (PI) or co-PI on a sponsored project must meet educational requirements determined by the Office of the Vice President for Research. The requirements are posted at: www.research.umn.edu/training/. This policy, as codified by the Regents Policy on *Principal Investigator Eligibility on Sponsored Projects*, has been the cornerstone of the University's program on Responsible Conduct of Research (RCR). Numerous groups, including the Council of Research Associate Deans, Sponsored Projects Administration (SPA), and the Vice President for Research, collaborated to finalize procedures to implement the Regents policy.

Coordinators of the RCR program are pleased that preliminary figures show general compliance with these requirements. From March 19 through March 29, University staff discovered that out of 190 proposals, fewer than 25 PIs had not met their RCR requirements. Only eight awards processed during that period were held up because of PI eligibility. Please note the eligibility process outlined below:

Education verification at proposal time

If the principal investigator (PI) has not met any part of the educational requirements of the RCR program, the PI will receive a notice stating that he or she must meet the educational requirements before SPA is able to process the award. Proposals will go forward while the PI is completing the RCR requirements.

If PIs receive notice that they have not met the requirements

- If the PI receives the notice that he or she has not met the requirements, the PI should verify the information in the RCR database. The database can be found at: <http://nirvana.ospa.umn.edu/rcr>.
- If the PI needs information about the requirements, this information is available on the Vice President for Research's education website at: www.research.umn.edu/training/. If the PI attended sessions in the past, the equivalency grid on this site will tell investigators how to evaluate those sessions.

Attending education sessions to meet the requirements

- Date and registration information for RCR sessions are available at: www.research.umn.edu/training/. After the PI attends the appropriate session, he or she will receive a confirmation email from the Vice President for Research. Staff members will also update the RCR database.

(continued on page six)

This article is a reprint, with modifications, of an article that appeared in the March, 2001 *Research Review*. Please visit SPA's website for future updates regarding PI eligibility.

RESEARCH REVIEW

Volume XXX, Number 10

April 2001

Editor: Bruce Erickson

Editorial Assistant: Tove Jespersen

Associate Vice President: Ed Wink

Research Review is a monthly publication of the Office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 450 Gateway Building, 200 Oak Street SE, Minneapolis, MN 55455-2070, or call Bruce Erickson, 612.625.2354, erick210@umn.edu, or Tove Jespersen 612.624.0061, tove@umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New rates effective July 1, 2001

TA, RA, AF: standard of gross salary	\$6.24	+	15.4%
TA, RA, AF: advanced master's or Ph.D.	\$1.04	+	15.4%
Summer session semester TA, RA, AF	—		15.4%
Summer session TA, with tuition	\$14.78	+	15.4%
Summer session TA, without tuition	—		15.4%
Professional program assistant	—		15.4%
Dental fellow *	\$4.45		—
Medical fellow *	\$3.12		—

To the rates listed above, add 7.7% to the 15.4% when a graduate student is enrolled for fewer than three credits, or less than one credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. This is a change from previous years.

For more information about GA job classes and fringe rates, contact George Green, associate dean of the Graduate School 612.625.7368, green007@umn.edu.

Other Job Classes

	Civil Service	Academic	Post-doc class #9546	Graduate Assistant
7/1/00 - 6/30/01	27.7%	27.5%	15.4%	17.5%
7/1/01 - 6/30/02	31.4%	31.2%	18.8%	23.1%
7/1/02 - 6/30/03 projected	34.4%	32.8%	20.4%	24.1%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009. Complete details of fringe benefit rates for all classes of UM employees are available at http://process.umn.edu/groups/ppd/documents/rates/fringe2000_01.cfm.

Rate changes will be reflected in this section.

Facilities & Administrative (F&A) (Indirect Cost) Rates

The rates listed at right come from the University's most recent F&A/indirect cost agreement, dated **December 16, 1999**. This date should be used where required on applications.

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration at 612.624.5599. If you have questions on F&A/indirect cost rate development, please call Steve Bradley, 612.626.9895.

* A project is considered off-campus if more than 50 percent of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University.

Research (MTDC base)

On-campus	48.00%	FY 2000
	48.50%	FY 2001-03
Off-campus*	26.00%	FY 2000-03

SAFL on-campus	59.00%	FY 2000-03
SAFL off-campus*	26.00%	FY 2000-03
Hormel on-campus	50.00%	FY 2000-03
Hormel off-campus*	26.00%	FY 2000-03

Other Sponsored Activity (MTDC base)

On-campus	32.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

Instruction (MTDC base)

On-campus	52.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

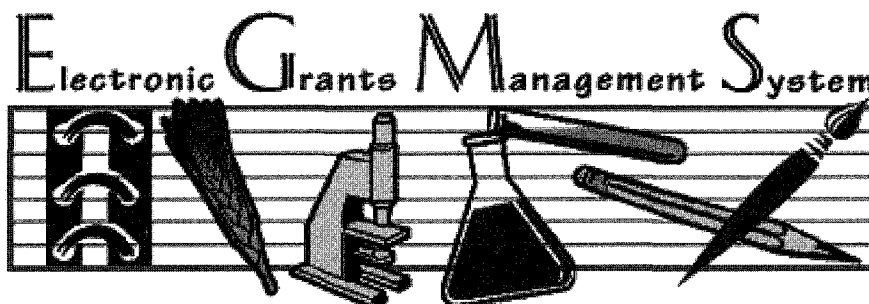
The entire agreement may be found at http://www.fpd.finop.umn.edu/groups/ppd/documents/rates/f_and_a_rates.cfm.

MTDC (Modified Total Direct Cost):

Total direct cost minus:

- graduate student fringe benefits
- equipment
- capital expenditures, e.g., new building construction
- charges for patient care
- tuition remission
- rental costs of off-site facilities
- scholarships and fellowships
- the portion of each subgrant and sub-contract in excess of \$25,000 per project period

For more information on equipment and subgrants and subcontracts in excess of \$25,000, see the April 1999 *Research Review*, or go to <http://www.ospa.umn.edu/resrev.htm>.



New Features Available in EGMS

We want to keep you up-to-date on enhanced and new EGMS features. Look for this occasional update list in *Research Review*.

Documentation:

- Instructions for Modular Grants updated to clarify the method by which EGMS calculates the modular budget.
- Instructions for Preparing an AREPA (A Report of External Professional Activities) and Approving an AREPA updated to include use of new features (see below for description of new features).

In the Proposal Preparation Database:

- Generic proposals:
 - Proposal Settings screen: continuation proposal type added.
 - Other Support subsection (Key Personnel section): ability to select individual other support data sets added; printing of annual direct costs for other support data sets (if specified in the other support data set) added.
- Proposal Settings screen: access for editing proposal settings expanded; any member of the User Group with Update access for a proposal can change proposal settings data.
- Proposal Settings screen: default Sponsor and Proposal Type drop-down fields changed to "none"; user must select a sponsor and proposal type before the proposal settings can be saved.
- Personnel subsection (NIH modular proposals and noncompeting continuations, Budget section): base salary entered now capped at new NIH level of \$161,200.
- Show Form screen: [Return to Main Menu](#) link added.

On the AREPA (A Report of External Professional Activities) in the OSPA Forms Database:

- Data entry of required demographic information fields automated; EGMS draws appointment information from the PeopleSoft® database.
- Flexibility to report activities in fractional days added.
- Data entry of some of the required approval names automated, based on the demographic data at the top of the form. At a minimum, EGMS provides the appropriate collegiate approver.
- Option to batch-approve large numbers of forms on which no external activities are reported added.

EGMS Open Lab Schedule for April - June 2001

Sponsored Projects Administration offers hands-on, open user labs for new and experienced EGMS users. An EGMS grants assistant is available to answer questions and demonstrate EGMS. Registration is not required for labs.

The lab is offered on Wednesdays from 9:00 a.m. to 11:30 a.m. in room 664, Children's Rehabilitation Center (just south of the Boynton Health Service Building on the Minneapolis East Bank). April through June 2001 the lab will be offered on:

April 4	April 18	
May 2	May 16	May 30
June 13	June 27	

In addition, Training Services provides open labs with a trainer present to answer user questions on EGMS, Financial FormsNirvana, and other financial policies and procedures. You can find the current schedule of Training Services labs at <http://training.finop.umn.edu/brochure/labs.html>.

National Science Foundation Award Supplement Changes

Last October, FastLane added a new module for award supplements. No longer does a PI enter a request for a supplement through Notifications and Requests. To request a supplement, the PI will select the existing award at the beginning of the process. A temporary proposal is created. The PI must provide, at a minimum, a summary of the work to be accomplished, a justification, and a budget. When Sponsored Projects Administration (SPA) submits the supplement, a new proposal is created.

Within five working days after FastLane submission, the signed paper budget must be mailed to NSF program staff. Although a cover sheet is generated by FastLane, the institution and PI cannot, and need not modify it.

Enhancements made to award supplement recently included:

1. The top of the cover sheet is stamped "Supplement" so it can be readily identified.
2. Page 2 is stamped "No Signature Required" in the signature block, as a reminder that the cover sheet does not need to be mailed to NSF.
3. Two buttons were added to the Form Preparation screen, "Supplemental Docs" and "Add/Delete Non Co-PI Senior Personnel." This will assist PIs preparing supplements for various research opportunities.
4. At the bottom of the SRO submission screen, a reminder was added that PIs must send a signed budget, but not the cover sheet (except for those participating in the electronic signature pilot).
5. On April 1st, the "Other" button in Notifications and Requests will be disabled. Until then, if a PI or SRO chooses that option, a warning message states that this option will be disabled on April 1st. They are directed to the new module. At the bottom of this screen, NSF added a button saying "Continue" so processing can continue until then.
6. In several places, text was changed from Supplemental "Proposal" to Supplemental "Request."
7. The word "Funding" was deleted from the Justification label on the forms preparation screen. It was being confused with a budget requirement.
8. The text in the e-mail message to PIs was revised slightly, reminding them to send the budget, but not the cover sheet.

This article is from NSF FastLane News dated March 19, 2001

National Science Foundation Grantee Success Rates

About a third of competitive funding proposals to the National Science Foundation (NSF) succeeded last year, although success rates ranged from 25 percent to almost 40 percent across NSF's individual funding components.

NSF reported last month that the agency acted on almost 29,407 proposals in fiscal 2000, funding 9,762. The numbers have changed little in the past five years. Rates ranged from 30 to 34 percent in the past ten years.

As usual, experience counts. Veteran PIs garnered most of the grants. Novice PIs had a success rate of 24 percent last year, walking away with 27 percent of the grants. Prior PIs had a 40 percent rate.

The "Report to the National Science Board on the National Science Foundation's Merit Review System" found that while the agency made progress on key goals of improving applicant diversity and access, more needs to be done.

For example, at 32 percent, minority PIs had success rates similar to the overall average for NSF. The number of awards for these individuals increased from 422 to 482, up 14 percent from fiscal 1999. However, this figure represents only five percent of total NSF awards.

The picture for women is significantly brighter. The success rate for women PIs was better than the NSF average. About 35 percent of proposals from women PIs succeeded with awards totaling 1,932, up 16 percent.

When it comes to the bottom line, there was a notable discrepancy in award sizes. The average grant for a male PI was \$108,825. The average award was \$95,987 for a woman PI and \$88,743 for a minority PI.

(continued on next page)

What's New in Grants Management

An index to Changes and Announcements

April 2001

(month ten of UM fiscal year 2001)

**This month there are no changes or announcements
regarding grants management.**

PI Eligibility Instruction in the Protection of Human Subjects

The Regents policy on principal investigator (PI) eligibility specifies that PIs must complete "all required training". While all PIs must have Responsible Conduct of Research (RCR) training, the nature of a PI's research or externally funded project determines what topics are included as part of the RCR curriculum. All PIs must complete instruction in the core topics offered as RCR part one and part two. In addition, if the research or project includes the use of human subjects then the PI must complete instruction in protecting human subjects as part of his or her required training. This Regents policy applies to all PIs working with human subjects, not just those funded by the National Institutes of Health.

This requirement is part of the educational requirements verified at proposal and award time. Please see the article on the front page for more details.

Reporting Completion of Protecting Human Subjects Instruction

The University developed two web-based tutorials for Protecting Human Subjects;

- Protecting Human Subjects Guide: www.research.umn.edu/subjects/humans/guide/
- Informed Consent Tutorial: www.research.umn.edu/consent/

To record completion of these tutorials in the RCR database, see the instructions below:

1. Go to the Education link in the RCR web registration at <http://nirvana.ospa.umn.edu/rcr/>. After you log in, select Register from the menu on the left side, select "Protecting Human Subjects - 2 UM web tutorials - Basic level" from the "Select a course:" menu and click on the "Add Class" button. Please note that when you register for this course you are affirming that you have completed **both** UM web-based tutorials: Protecting Human Subjects Guide **and** Informed Consent. Your participation status in the RCR database will change from "registered" to "attended" at the end of the month.
2. You may also e-mail rcredu@umn.edu with the date you completed BOTH tutorials. Please *do not* furnish a copy of the self-assessment scores. Your completion will be recorded at the end of the month in which you sent the e-mail.

If you completed the tutorial prior to April 1, 2001, and this is not reflected in your "Instructional Summary" in the RCR database, please email rcredu@umn.edu.

Workshop Writing Winning Grants

April 27 and May 4

8:45 – 4:30 p.m.

Registration is \$175 for
the two-day workshop.

Contact: Linda Boche

612.626.1980 or boche001@umn.edu

NSF

[continued from previous page]

NSF wants to increase the percentage of competitive research grants to new investigators to at least 30 percent, partly by increasing staff outreach efforts. The agency will also step up efforts this year to ensure reviewer diversity.

To find the report, go to www.nsf.gov.

From April 2, 2001 Federal Grants and Contracts Weekly

Research Animal Resources Site Visit Follow- Up

The Association for the Assessment and Accreditation of Laboratory Animal Care, Intl. (AAALAC) completed its site visit of the University of Minnesota's animal care and use program for the Academic Health Center, College of Liberal Arts, and Hormel Institute in March.

The site visitors were very complimentary on the overall quality of animal care, facilities, maintenance, and institutional proactive training they observed.

It will be at least four months before AAALAC's conclusions and recommendations will be finalized in written form but no problems serious enough to jeopardize the University's accreditation status were identified at the exit briefing. Continued accreditation is assured.

As is to be expected in any program as large and heterogenous as the University of Minnesota, there were numerous suggestions for improvements which will be reviewed and addressed by RAR, the IACUC, and the Office of Regulatory Affairs.

Everyone involved in preparing for, and hosting the AAALAC site visit is to be congratulated for their efforts in support of the University of Minnesota's animal care and use program. Your conscientious efforts on behalf of the animals are recognized and commended.

PI Eligibility*(continued from page one)***Education verification at award time**

If the PI has met the requirements, the award will be processed as usual. If the PI still has not met the requirements, the PI will receive a notice stating that, in accordance with Regents policy, SPA cannot process the award.

The PI must read this notice carefully to determine how to proceed.

Pre-award or advance spending

Remember that work on a sponsored project cannot begin until an advance or pre-award account is established. Because elements of the required education extend beyond financial issues, SPA cannot set up accounts for grants or contracts if the PI has not fulfilled the RCR educational requirements at the time the advance or pre-award account is requested.

For more information or answers to questions about this process

For more information about the RCR educational requirements and the process for verifying PI eligibility, please call the RCR Education helpline at 612.624.0212 or contact Peggy Sundermeyer, RCR coordinator, at rschtrng@umn.edu.

Certified Approver Examination Schedule

on the web at <http://www.oar.umn.edu/CA/schedule.htm>

April – June 2001

Preregistration Required

Please call 612.625.9057 with questions about the

Certified Approver Program

Locations are subject to change

<u>Date</u>	<u>Day</u>	<u>Part</u>	<u>Start</u>	<u>Location</u>
April				
9	Monday	2	9:00 a.m., 1:00 p.m.	9 Eddy Hall
26	Thursday	1	9:00 a.m. only	9 Eddy Hall
May				
14	Monday	2	1:00 p.m. only	9 Eddy Hall
24	Thursday	1	9:00 a.m. only	9 Eddy Hall
June				
4	Monday	2	1:00 p.m. only	9 Eddy Hall
21	Thursday	1	9:00 a.m. only	9 Eddy Hall

Top 20 institutions NIH Support

Fiscal Year 2000

1.	Johns Hopkins	\$ 419,345,194
2.	University of Pennsylvania	321,297,967
3.	University of Washington	302,484,712
4.	University of California, San Francisco	295,280,560
5.	Washington University	279,478,547
6.	University of Michigan	260,353,494
7.	Harvard University	250,439,680
8.	University of California, Los Angeles	243,565,013
9.	Yale University	242,793,599
10.	Columbia University	226,683,943
11.	University of Pittsburgh	224,340,779
12.	Stanford University	211,927,907
13.	University of North Carolina, Chapel Hill	207,047,934
14.	Science Applications International	198,943,533
15.	Duke University	197,153,389
16.	University of California, San Diego	190,542,135
17.	Massachusetts General Hospital	180,537,588
18.	Case Western Reserve University	171,567,477
19.	University of Minnesota	170,278,387
20.	Baylor College of Medicine	169,294,366

Source: NIH

Intellectual Property Conference Announcement

<http://ipconference.education.wisc.edu>

On May 6-9, 2001, the University of Wisconsin Law School and University of Wisconsin-Madison, School of Education will cosponsor an intellectual property conference, Intellectual Property in the Digital Environment: Exploring the Possibilities at the Monona Terrace Convention Center in Madison, Wisconsin. The Conference, national in scope, will begin with an opening reception on Sunday evening, May 6, 2001 followed by two days of presentations. Two comprehensive post-conference workshops related to copyright and ownership policy are scheduled for the morning of Wednesday, May 9.

Conference presentations will address:

- Copyright and the Internet
- Fair Use in Cyberspace
- Anticircumvention Issues
- Ownership Issues and Distance Education
- Copyright Infringement and Digital Technologies
- Innovative Education-Business Partnerships
- Recently introduced bill, S.487, "Technology Education and Copyright Harmonization Act"

Our goal is to open communication pathways and share relevant and current information with individuals who have a vested interest in intellectual property use and development in education.

If you have any questions regarding this conference, please contact:

Lisa Livingston
Conference Chairperson
University of Wisconsin-Madison
lmlivingston@facstaff.wisc.edu
608.262.3431

NATO Grants Science Program

The NATO Science Program offers support for collaboration in civil service between scientists of countries of the Euro-Atlantic Partnership Council. The purpose of the program is to stimulate the cooperation which is essential to progress in science, to create enduring links between researchers, and to help sustain the scientific communities in transition in NATO's "Partner" countries.

Joint applications in all fields of science are invited from researchers in participating countries for Collaborative Linkage Grants or Expert Visits, or to organize Advanced Study Institutes or Advanced Research Workshops.

Application criteria, and application forms, are available at the NATO Science website, <http://www.nato.int/science/>.

To be eligible for funding, collaboration must be between scientists in "Partner" or Mediterranean Dialogue countries and scientists in NATO countries. Collaboration between NATO-country scientists exclusive is no longer supported.

NCURA 2000 - 2001 Live Satellite Broadcast Series Compliance Issues Impacting Financial Research Administration

This video conference will explore the requirements for compliance: both the tangible documentation and the 'spirit' of complying with these requirements.

The broadcast will focus on those aspects that primarily affect research administrators in departmental business offices and central post-award units. Our panelists will discuss strategies that may be employed to enhance compliance, the potential consequences for failure to comply, and will provide their perspectives in meeting the intent of complying with the agency requirements.

Faculty: Jerry Fife, director of Grant and Contract Accounting at Vanderbilt University; Elizabeth Mora, director of Sponsored Research Operations at Harvard University; Frank Zuraf, vice president, Internal Audit at the Research Foundation of SUNY, and Barbara Walsh, manager, PricewaterhouseCoopers."

For more information or to see if seats are available please call, 612.625.9057 or 612.624.0327.

Tuesday, May 15, 2001
10:30 a.m. - 2:30 p.m.

Bell Museum Auditorium, University of Minnesota, East Bank

Please Note

Effective February 1, 2001, the Robert Wood Johnson Foundation has changed its budget guidelines and policies to reflect a 9 percent total indirect cost base. If you have questions, please contact Judy Krzyzek at 612.624.2546, krzyzek@umn.edu or Kathy Doy at 612.624.2086, kdoy@umn.edu in Sponsored Projects Administration.

More Information

To generate copies of NIH application forms, please go to EGMS at <http://nirvana.ospa.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>. NSF program information is at <http://www.nsf.gov/pubs/2000/nsf002/start.htm>. NSF requires FastLane submission at <http://www.fastlane.nsf.gov>.
(For help, call the EGMS help line at 612.624.1600.)

For funding searches

See the Funding Sources section of SPA's web page at <http://www.ospa.umn.edu/>. Grantseekers can search for additional funding opportunities via SPIN, a grants database, on SPA's web site at the URL listed above. If you encounter difficulty connecting to the SPIN database, please contact facgrant@umn.edu or call 612.625.7585 to resolve the problem.

McKnight Foundation

* McKnight Memory and Brain Disorders

To assist scientists working to apply the knowledge achieved through basic research to human brain injury or disease. Up to six awards are made annually, each providing \$100,000 per year for three years. Applicants must have independent positions; the award does not support graduate or postdoctoral research. Collaborative and cross-disciplinary applications are explicitly invited.

A two-page letter of intent is due **May 10, 2001**. The letter should clearly describe how the proposed research would uncover mechanisms of brain injury or disease and how it will contribute to diagnosis, prevention, treatment, or cure.

Please send letters of intent to:
McKnight Memory and Brain Disorders Award
The McKnight Endowment Fund for Neuroscience
600 TCF Tower - 121 South Eighth Street
Minneapolis, MN 55402

National Institutes of Health

* Population Movement: Determinants and Consequences

To research the determinants and consequences of population movement. The 'determinants' of migration include characteristics of places and sociopolitical units, and of persons and their families. The 'consequences' of migration refer to the relative performance of migrants in their new location, the effects of migration on origin and destination populations, and the impact of migrants on population structure, density, crowding, and environmental outcomes.

The potential contribution of demographic research and methods to understanding individual and social outcomes extends broadly across the spheres of health, human development, aging, retirement, family, and material well-being. Research on population movement includes studies of migration within national boundaries as well as movement across borders.

The next deadlines are **June 1** and **October 1, 2001**. This will utilize an R01 mechanism. Go to <http://grants.nih.gov/grants/guide/pa-files/PA-00-032.html>.

Campbell Foundation

* Grants

Grantmaking concentrates on research for the prevention and treatment of HIV, AIDS, and related conditions and illnesses. Priority is given to requests that focus on alternative, nontraditional avenues of research.

There is **no deadline**. Go to <http://members.aol.com/campfound/>. For further information, Ken Rapkin, 954.493.8822, fax 954.493.8801; campfound@aol.com.

Centers for Disease Control

* Improving Health Risk Communication Related to Military

To develop and implement strategies to improve health risk communication to protect military personnel, veterans, and their families.

The application deadline is **May 2, 2001**. Go to <http://www.cdc.gov>. For applications, 888.472.6874, refer to announcement 01021. For program information, Drue Barret, 404.639.4862; dhbl@cdc.gov.

Department of Energy

* Biomass Technology Development

To develop advanced biomass power systems to diversify products and lower costs of biomass processing. Required cost-sharing is 20 percent of total project cost. DoE encourages teams involving technology developers, equipment manufacturers, energy service companies, and others.

The application deadline is about **May 31, 2001**. Go to <http://www.netl.doe.gov/business>. Refer to solicitation DE-PS26-01NT41130.

Centers for Disease Control and Prevention

* Occupational Injury Prevention Training Grants

Applicants must propose master's-level and/or doctoral training programs in occupational safety engineering and science and/or occupational injury epidemiology.

For applications, call 888.472.6864. Refer to announcement 01036. For more information go to <http://www.cdc.gov>. The deadline is May 1.

U.S. Department of Agriculture

* Integrated Food Safety Initiative

Activities that address food safety priorities. Proposals are sought in the following areas: analysis and assessment and risk communication; control measures for food-borne microbial pathogens; sources and incidence of microbial pathogens; antibiotic resistant microbial pathogens; improving the safety of fresh fruits and vegetables; food handler education and training; testing, implementation, and evaluation; and national support and coordination of integrated food safety programs and resources.

The application deadline is **May 14, 2001**. Go to <http://www.reeusda.gov/1700/programs/IFAS/IFAS.htm>. For program information, Jan Singleton, 202.401.1954, fax 202.401.9862; jsingleton@reeusda.gov.

* Food Quality and Pest Management

For research to develop, test, and implement pest management alternatives and possible mitigation strategies that anticipate statutory and regulatory changes. Priorities include research on replacement or mitigation technologies, emphasizing biologically based methods; field demonstration of promising approaches; and outreach activities to exchange pest management information via publications, web sites, and regional workshops.

The application deadline is **May 14, 2001**. Go to <http://www.reeusda.gov/1700/funding/integrated.htm>. For program information, Dennis Kopp, 202.401.6437, fax 202.401.4888; dkopp@reeusda.gov.

* Water Quality

For research, extension, and education activities to address agriculture-related degradation of water quality. Preference is to "place-based" projects in which proposers have identified a specific location where the work is to be conducted.

The application deadline is **May 14, 2001**. Go to <http://www.reeusda.gov/nre/water/water.htm>. For program information, Michael O'Neill, 202.205.5952; fax 202.401.1706; moneill@reeusad.gov.

U.S. Army

* Military Health Research

Awards for relatively short-term, high technology, innovative research and development on a wide range of topics related to the health of U.S. military forces. Among broad research topics are: childhood asthma, health system information technology; imaging; medical records management; microsurgery and robotic surgery research; molecular biology for cancer research; neural mechanisms of chronic fatigue syndrome; smoking cessation, social work research; tissue regeneration; and alcohol abuse prevention.

A letter of intent is requested by **April 25**; full proposals are due **May 16**. Go to <http://www-usamraa.army.mil>. Refer to solicitation CBD-PRM-0303. For other information, contact Kathryn Dunn, 301.619.7354; kathy.dunn@amedd.army.mil.

2111 Foundation for Exploration

* Grants

For projects that foster links between the environmental and space exploration communities. Awards are in two categories: 1) scientific research and field expeditions that further the exploration of space, such as the study of Antarctica as an analog to other worlds; 2) scientific work that makes use of space technologies to solve problems on earth. An example is the use of remote and the global positioning system (GPS) to devise solutions to environmental degradation.

Proposals are accepted **at any time**. Go to <http://twentyone-11.org/grants.html>.

American Institute for Cancer Research

* Investigator Initiated Grants

To encourage research on the dietary and nutritional means of preventing and treating cancer. Innovative rather than confirmatory projects are sought.

Deadlines in 2001 are **July 1** and **December 17**. Go to <http://www.aicr.org/restop.htm>.

* Collaborative Research Grants

In cooperation with FDA's National Center for Toxicological Research, to support fundamental and applied research projects in diet, nutrition, and cancer. Studies relevant to the modulatory effects of caloric restriction on metabolic processes related to cancer are encouraged. Such processes include, but are not limited to, immunologic, hormonal, enzymatic, and genetic processes, as well as tumor cell growth, proliferation, differentiation, and metastasis.

Deadlines in 2001 are **July 1** and **December 17**. Go to <http://www.aicr.org/restop.htm>.

National Institutes of Health

* HIV Treatment Adherence Research

NIMN, NIDA, NIAAA / R03 or R01

Research on adherence to combination antiretroviral medical therapy regimens.

AIDS deadlines: **January 2, May 1, September 1**; standard deadlines: **February 1, June 1, October 1**. Go to <http://grants.nih.gov/grants/guide/pa-files/PA-01-073.html>.

* HIV-1 Infection of the Central Nervous System

NIMH, NINDS, NIDA / R23

Research on the effects of HIV infection on the brain. Examples of areas are the mechanisms of establishment of central nervous system (CNS) viral reservoirs and the mechanisms of reseeding the peripheral compartment from the CNS.

AIDS deadlines: **January 2, May 1, September 1**; standard deadlines: **February 1, June 1, October 1**. Go to <http://grants.nih.gov/grants/guide/pa-files/PA-01-072.html>.

* Metals in Medicine

NIGMS, NIDDK, NIEHS, ODS

For research bridging organic chemistry and medicine that focuses on how organisms control transition metal ions and roles of metals in cell regulation and signaling.

Deadlines are **February 1, June 1 and October 1**, annually. Go to <http://grants.nih.gov/grants/guide/pa-files/PA-01-071.html>.

* Zebrafish Mutagenesis and Screen Tools

NIH

To advance mutagenesis screening in zebrafish to detect and characterize genes, pathways, and phenotypes of interest in development and aging, organ formation, behavior, and disease processes.

Deadlines are **February 1, June 1 and October 1**, annually. Go to <http://grants.nih.gov/grants/guide/pa-files/PA-01-070.html>.

* Science into Practice: Alcohol Treatment

NIAAA / R01

Research on the adoption of scientific advances in alcohol treatment in clinical practice. Areas: 1) studies that prepare findings from efficacy trials for real-world clinical adoption; 2) research on communication channels between the scientific and provider communities; 3) studies of adoption trials; 4) naturalistic studies of knowledge adoption; 5) contributions toward the theory of the adoption process; 6) studies of organizational change; and 7) research on resources to facilitate practice improvement.

Deadlines are **February 1, June 1 and October 1**, annually. Go to <http://grants.nih.gov/grants/guide/pa-files/PA-01-058.html>.

* Technology for Biomedical Applications

NCRR / R01, R33

Applications to develop new and improved instruments or devices, methods or software to be used in biomedical research. Proposed research may involve conceptualization, design, fabrication, or testing of new instruments or devices. Areas of emphasis are biomedical engineering and technologies for the study of structure and function of biological systems at all levels of complexity.

Deadlines are **June 1 and October 1**, annually. Go to <http://grants.nih.gov/grants/guide/pa-files/PA-01-057.html>.

* Cancer Prognosis and Prediction NCI / R21, R33

To evaluate the utility and pilot the application of new strategies and markers for determining prognosis or predicting response to cancer treatment.

A letter of intent is required by **May 9, 2001**; full proposals are due **June 13**. Go to <http://grants.nih.gov/grants/guide/pa-files/PA-01-061.html>.

NARSAD

* 2002 Distinguished Investigator Award

NARSAD is a private, not-for-profit organization which raises and distributes funds for scientific research into the causes, cures, treatments, and prevention of severe neurobiological disorders. Award opportunities up to \$100,000 for one year are given to established scientists at the rank of full professor (or equivalent) who maintain a laboratory, to encourage the pursuit of innovative projects in diverse areas of schizophrenia, affective disorders, or other serious mental illnesses.

Guidelines and accompanying face sheet are available for download as of April 1, 2001, at: www.narsad.org.

1st Round Application Due:

May 15, 2001

Earliest Start Date: May 1, 2002

Contact Information:

Audra Moran, Director,
Research Grants Program
NARSAD

60 Cutter Mill Road, Suite 404

Great Neck, NY 11021

516-829-5576 (phone)

516-487-6930 (fax)

amoran@narsad.org (e-mail answered daily).

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For a more complete listing, go to <http://www.ospa.umn.edu/directry.htm>

Instructions on Changing Addresses

SPA cannot change the faculty mailing list. It is a list we *buy* monthly.

Human Resources generates the list and departments must initiate changes by contacting their departmental payroll person or Human Resources coordinator.

For changes to our supplemental mailing list, please complete the following and send it to the address below:

Change Name: _____
Add Department: _____
Delete Building & Room No.: _____
Mail Delivery Code (if on campus): _____
City, State, Zip (if off campus): _____

TO: Danielle Billington
Sponsored Projects Administration
450 McNamara Alumni Center
200 Oak Street SE
Minneapolis, MN 55455



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450 McNamara Alumni Center
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Minneapolis, Minnesota 55455-2070

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Research Review



Sponsored Projects Administration
Patents and Technology Marketing
Oversight Analysis and Reporting

May 2001

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Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of the month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, erick210@umn.edu.

Effective August 1, New Deadline for Delivering Proposals to SPA

Effective August 1, 2001, the Sponsored Projects Administration (SPA) will move its deadline for receiving proposals from 1:00 p.m. on the day the proposal must be sent out to 5:00 p.m. the day **BEFORE** the proposal must be sent out. Therefore, proposals SPA must send out on August 1, must be received in SPA by 5:00 p.m. on July 31.

This change comes as a result of feedback from members of the SPA Advisory Committee, consisting of representatives from the colleges and departments. Members of the committee felt the new deadline would give them more time to answer and resolve proposal questions and issues with the sponsor and SPA prior to the submission deadline. Before making this change, SPA discussed the impact of the new deadline with the Senate Research Committee, Council of Research Associate Deans, and the Office of the Vice President for Research and got their support for the new deadline.

"The new deadline will give departmental and SPA staff additional time to review and assemble more complete and accurate proposals to submit to sponsors," said Ed Wink, associate vice president of research. "In addition, with more sponsors like NSF requiring electronic submission of proposals, the new deadline allows us to deal with technical difficulties that may come up during submission," added Wink.

Reminder of Proposal Requirements

Please provide the following when delivering proposals to SPA:

- The correct number of copies for the sponsor and one copy for SPA
- The required signatures on the Proposal Routing Form (PRF) and other documentation
- The name, email, and phone number written on the PRF of a person SPA can contact with questions or problems regarding the proposal
- Delivery of the proposal by 5:00 p.m. the day **BEFORE** it must be sent out

SPA staff handle proposals in the order in which the proposals arrive at SPA. If SPA receives a proposal after the 5:00 p.m. deadline, they will do their best to review it, but principal investigators and/or departments will take responsibility for arranging delivery to the sponsor.

RESEARCH REVIEW

Volume XXX, Number 11

May 2001

Editor: Bruce Erickson

Editorial Assistant: Tove Jespersen

Associate Vice President: Ed Wink

Research Review is a monthly publication of the Office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 450 Gateway Building, 200 Oak Street SE, Minneapolis, MN 55455-2070, or call Bruce Erickson, 612.625.2354, erick210@umn.edu, or Tove Jespersen 612.624.0061, tove@umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.
Graduate and Professional Student Assistants

New rates effective July 1, 2001

TA, RA, AF: standard of gross salary	\$6.24	+	16.9%
TA, RA, AF: advanced master's or Ph.D.	\$1.04	+	16.9%
Summer session semester TA, RA, AF	—		16.9%
Summer session TA, with tuition	\$14.78	+	16.9%
Summer session TA, without tuition	—		16.9%

Professional program assistant	—		16.9%
Dental fellow *	\$4.45		—
Medical fellow *	\$3.12		—

To the rates listed above, add 7.7% to the 16.9% when a graduate student is enrolled for fewer than three credits, or less than one credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. This is a change from previous years.

For more information about GA job classes and fringe rates, contact George Green, associate dean of the Graduate School 612.625.7368, green007@umn.edu.

Other Job Classes

	Civil Service	Academic	Post-doc class #9546	Graduate Assistant
7/1/00 - 6/30/01	27.7%	27.5%	15.4%	17.5%
7/1/01 - 6/30/02 revised	31.2%	32.5%	19.3%	24.6%
7/1/02 - 6/30/03 revised projection	32.9%	34.4%	20.6%	27.3%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009. Complete details of fringe benefit rates for all classes of UM employees are available at http://process.umn.edu/groups/ppd/documents/rates/fringe2000_01.cfm.

Rate changes will be reflected in this section.

Facilities & Administrative (F&A) (Indirect Cost) Rates

The rates listed at right come from the University's most recent F&A/indirect cost agreement, dated **December 16, 1999**. This date should be used where required on applications.

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration at 612.624.5599. If you have questions on F&A/indirect cost rate development, please call Steve Bradley, 612.626.9895.

* A project is considered off-campus if more than 50 percent of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University.

Research (MTDC base)

On-campus	48.00%	FY 2000
	48.50%	FY 2001-03
Off-campus*	26.00%	FY 2000-03

SAFL on-campus	59.00%	FY 2000-03
SAFL off-campus*	26.00%	FY 2000-03
Hormel on-campus	50.00%	FY 2000-03
Hormel off-campus*	26.00%	FY 2000-03

Other Sponsored Activity (MTDC base)

On-campus	32.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

Instruction (MTDC base)

On-campus	52.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

The entire agreement may be found at http://www.fpd.finop.umn.edu/groups/ppd/documents/rates/f_and_a_rates.cfm.

MTDC (Modified Total Direct Cost):

Total direct cost minus:

- graduate student fringe benefits
- equipment
- capital expenditures, e.g., new building construction
- charges for patient care
- tuition remission
- rental costs of off-site facilities
- scholarships and fellowships
- the portion of each subgrant and sub-contract in excess of \$25,000 per project period

For more information on equipment and subgrants and subcontracts in excess of \$25,000, see the April 1999 *Research Review*, or go to <http://www.ospa.umn.edu/resrev.htm>.

National Science Foundation New Electronic Signature Process: Effective June 1

(reprinted from an NSF source)

For the past several months, NSF has been assessing various solutions for use in implementing electronic signatures for proposals submitted to the Foundation. Upon consideration of the results of pilots conducted on electronic signatures, as well as re-reviewing the existing legal and regulatory requirements relative to government-wide certification requirements, the Foundation has concluded that the most appropriate method for obtaining electronic signatures is to require only Authorized Organizational Representative (AOR) signatures in proposals submitted to NSF.

The result of this new approach is that NSF will now receive an electronic password-based signature from the AOR, but will no longer require the signature (paper or electronic) of any identified PI or co-PI. **With implementation of this electronic signature strategy, NSF will be able to eliminate the requirement for organizations to submit a paper signed Proposal Cover Sheet within five days following the electronic submission of the proposal.**

To implement NSF's electronic signature process, effective immediately, all organizations are required to designate the individual(s) authorized to sign on behalf of their organizations. This can be done by accessing the "Change User Permissions" function available via the Organizational Management section of FastLane and then assigning your organization's AOR(s) the "Authorized Organizational Representative Functions" permission.

Effective June 1, 2001, all proposals to NSF are required to be electronically signed by the AOR. Currently, Ed Wink, Sheryl Goldberg, and Kevin McKoskey can act as an AOR for the University of Minnesota.

An addendum to the Grant Proposal Guide will be issued in the near future that implements this new electronic signature process for use in submission of proposals to NSF.

We believe that the electronic signature strategy developed is the least burdensome and most prudent approach to resolution of the electronic signature

issue. We look forward to working with the NSF proposer community in implementing this important new change.

Any questions regarding the new signature policy should be addressed to the Policy Office, Division of Contracts, Policy & Oversight by e-mail to policy@nsf.gov or by phone to: (703) 292-8243. For FastLane user support, phone 1-800-673-6188 or e-mail fastlane@nsf.gov.

What This New Process Means to University of Minnesota Faculty

PIs and CoPIs will no longer have to sign a paper copy of the certification page. Also, subawardees will not be required to sign certification pages or budget pages. Please note that one full copy of the proposal must accompany a completed draft copy of the Proposal Routing Form (PRF) before SPA will submit the proposal. At this time, signed budget pages are still required for supplemental requests.

Technology Transfer Agreements

January 2001 – March 2001

- Title:** Check Valve Catheter
Purpose: A catheter having a tip which is resistant to plugging by blood components or other body fluids when used as a long term implant within a living body.
Inventors: Frank D. Dorman, Mechanical Engineering
Title: Polyol-Hormone Mixture for Use in Chronic Parenteral Hormone Administration
Purpose: A method of preventing the precipitation of proteins within drug delivery systems that depend on the fluidity of the infusate for proper function.
Inventors: Perry J. Blackshear, Mechanical Engineering; John L. Palmer, Medicine; Thomas D. Rohde, Surgery
Title: Bi-Directional, Anti-Reflux Vascular Access System
Purpose: An implantable access system for infusion of liquids into a body or aspiration of liquid samples from the body.
Inventors: Michael H. Anderson, Bruce D. Wigness, Surgery
Title: Implantable Catheters with Non-Adherent Contacting Surfaces
Purpose: Catheters for long-term implantation.
Inventors: Michael H. Anderson, Christopher S. Lyons, Bruce D. Wigness, Surgery

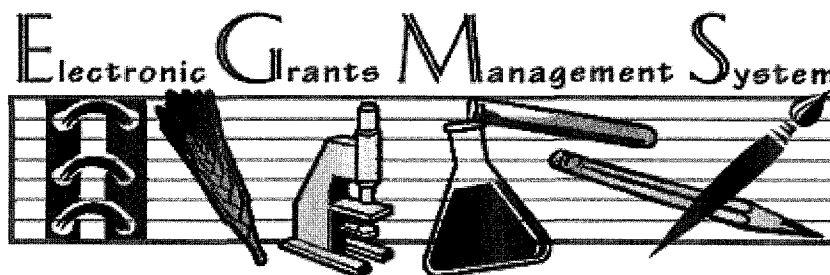
What's New in Grants Management

An index to Changes and
Announcements

May 2001

(month eleven of UM fiscal year 2001)

This month there are no changes or announcements regarding grants management.



EGMS and NIH Modular Proposals

EGMS produces proposals that meet requirements for correct modular format

In 1999, the National Institutes of Health (NIH) introduced a new application process for proposals requesting up to \$250,000 in direct costs per year. Instead of submitting a detailed budget to NIH, investigators were to send a budget requesting each year's funds in \$25,000 increments that were dubbed 'modules.' When NIH first announced this new 'modular' application option, EGMS was upgraded to allow University faculty and staff to use an already familiar process to create this new type of application.

NIH requirements for correct modular format

NIH now requires that all applications requesting \$250,000 or less in annual direct costs be submitted as modular proposals. NIH also requires that modular applications conform to strict guidelines related to formatting of the budget and the biosketch; NIH returns applications not conforming to these guidelines. The most recent NIH instructions can be found at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-00-046.html>.

Preparing a modular proposal in EGMS

The process for preparing an EGMS modular proposal is similar to preparing any other type of EGMS proposal. To prepare a modular proposal, users must enter all budget details into EGMS. EGMS uses these budget details to calculate the proposal's F&A (indirect) costs and to convert the actual direct costs to direct costs in modules.

For preparing a modular proposal in EGMS, users must complete two subsections unique to the EGMS modular application: the Research Activity subsection (in the Key Personnel section) and the Modular Information subsection (in the Budget section). The Other Support subsection is not used for modular applications.

For a modular proposal, click in the Modular checkbox on the Proposal Settings screen. EGMS provides the appropriate subsections and applies the appropriate University rules and NIH rules for a modular application. When using EGMS to prepare a modular application, the resulting proposal meets the NIH requirements for the correct modular format. While the budget details do not print with the completed proposal, they remain stored in EGMS to facilitate account setup at the time of award.

Commonly asked questions about the EGMS modular budget

How does EGMS create a modular budget from budget details?

EGMS does not simply round up the actual total direct costs to the nearest \$25,000 increment to determine modular costs. Budget periods with one-time costs of \$25,000 or more require an extra calculation step.

To assist users, the Instructions for EGMS Modular Grants posted on the EGMS web site (<http://nirvana.ospa.umn.edu/gems/jobaid.html>) have been updated to clarify the calculation scheme. The instructions now include a link to a separate page listing specific examples of EGMS modular calculations.

How does EGMS calculate F&A (indirect) costs for a modular proposal?

EGMS applies the F&A rate to the modified modular direct costs. The modified modular direct costs are the total direct costs in modules less equipment, capital (A&R) expenditures, patient care, graduate fringe, space rental costs, physics shop charges, and the portion of each subcontract and subgrant in excess of \$25,000 per project period.

Do I still submit a proposal as 'modular' if one of the budget period's actual total direct costs exceed \$250,000?

Yes, in some instances. A proposal with one or more budget periods with total direct costs over \$250,000 may still qualify for modular submission. To help you determine if a proposal qualifies as a modular proposal, we recommend that you check the Modular box on the Proposal Settings screen and prepare your budget first. After EGMS converts the detailed budget to the modular format, if the total direct costs in modules for all budget periods are \$250,000 or less, the proposal must be submitted as a modular proposal.

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Do all proposals with annual total direct costs less than \$250,000 qualify for modular submission?

No. If you anticipate that your annual total direct costs will be close to NIH's \$250,000 modular application breakpoint, we recommend that you check the Modular box on the Proposal Settings screen and prepare your budget first. Because the calculation method for determining modules handles one-time costs of \$25,000 or more separately, it is possible that the conversion of actual direct costs of less than \$250,000 to modular costs may create total direct costs in modules greater than \$250,000. After EGMS converts the detailed budget to the modular format, if any budget period's total direct costs in modules exceed the \$250,000 limit, the proposal cannot be submitted in the modular format.

Can I do a Budget Only EGMS proposal for a modular application?

No. The EGMS Budget Only proposal type is not compatible with the requirements of the NIH modular proposal and is not an option for preparing a modular proposal.

Resources

Instructions for EGMS Modular Grants

(updated 04/23/01; includes examples of modular calculations)

The Instructions for EGMS Modular Grants are found through the [Instructions for Special Proposal Types](#) link on the EGMS Home Page, on the Main Menu of all modular proposals, and at <http://nirvana.ospa.umn.edu/gems/jobaid.html>.

NIH Modular Grants page

<http://grants.nih.gov/grants/funding/modular/modular.htm>

NIH Modular Grant Applications: Modifications and Update notice (dated 7/24/00)

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-00-046.html>

EGMS User Support

Business helpline	612.624.1033
Technical helpline	612.624.1600
E-mail inquiries	egms@boombox.micro.umn.edu

Spotlight on New EGMS Feature EGMS Proposal Routing Form Now Checks PI Eligibility

The EGMS Proposal Routing Form (PRF) now includes a function for checking Principal Investigator (PI) eligibility for sponsored projects. When a PRF is prepared, an audit step checks the data on the form. The audit procedure also now checks the Education in the Responsible Conduct of Research (RCR) database to determine if the PI listed on the PRF has met the proper educational requirements. For all PRFs, the RCR database is checked for PIs completion of the RCR 1 and RCR 2 coursework. For PRFs that indicate the use of Human Subjects in question 13, the audit procedure also checks if the PI has met the requirements for Human Subjects training.

If the PI has not met one or more of these requirements, a warning message appears in the Request History of the PRF. The warning includes a link to the RCR database to facilitate registration for any outstanding training. A PRF with a PI who has not completed all required training still passes audit and the accompanying proposal will still be sent by SPA to the sponsor.

The PRF warning message is an additional mechanism for communicating with PIs of sponsored projects about RCR training; it does not replace the e-mail notification that PIs receive regarding PI eligibility (described in the April 2001 issue of Research Review).

For more information about how the EGMS PRF checks PI eligibility, contact the EGMS business helpline at 612.624.1033.

New EGMS Feature Aids in the Modular Awards Process

As part of the award process for a modular application, NIH requests a listing of Other Support for the project's key personnel, to determine overlap for award candidates. Within the Other Support Database, EGMS provides a feature for printing the data stored in the Other Support Database on NIH 398 forms. You can access the print feature option through the **Print Menu** button at the top of the Other Support subsection screen.

{continued from page three}

Title: Pressure Regulated Implantable Infusion Pump

Purpose: Implantable infusion pump for infusing drugs or other chemical or solutions into the body.

Inventors: Henry Buchwald, Surgery; Frank D. Dorman, Mechanical Engineering

Title: Spring Driven Infusion Pump

Purpose: Implantable infusion pump for infusing drugs or other chemical or solutions into the body.

Inventors: Henry Buchwald, Surgery, Frank D. Dorman, Mechanical Engineering

Title: Metabolic Sensor Including a Chemical Concentration Sensitive Flow Controller for a Drug Delivery System

Purpose: A system for the measurement of a metabolite in a physiological fluid.

Inventors: Frank D. Dorman, Mechanical Engineering; Bruce D. Wigness, Surgery

Title: Solvent System for Chronic Vascular Infusion of Hydrophobic Drugs

Purpose: Provides a liquid infusate for the chronic vascular infusion of a hydrophobic biologically-active compound.

Inventors: Thomas D. Rohde, Bruce D. Wigness, Surgery

Title: Automated Peritoneovenous Shunt

Purpose: An implantable, anti-reflux, fluid displacement peritoneovenous shunt system.

Inventors: Henry Buchwald, Eugenio Guzman, Bruce D. Wigness, Surgery

Title: Implantable Intravascular Access System

Purpose: An implantable intravascular access system.

Inventors: Frank D. Dorman, Mechanical Engineering; Bruce D. Wigness, Surgery

Title: Compression Pump-Catheter

Purpose: An implantable, anti-reflux, fluid displacement, compression pump-catheter system.

Inventors: Henry Buchwald, Engenio Guzman, Bruce D. Wigness, Surgery

Title: Zero Net External Displacement Implantable Pump and Driver

Purpose: An implantable pump for the transfer of accumulated body fluids from the peritoneum to the vasculative system.

Inventors: Frank D. Dorman, Mechanical Engineering; Bruce D. Wigness, Surgery

Title: Bidirectional Check Valve Catheter

Purpose: A vascular access system utilizing a catheter.

Inventors: Frank D. Dorman, Mechanical Engineering; Bruce D. Wigness, Surgery

Title: Method and Apparatus for Catheterization

Purpose: A method and apparatus for implanting the apparatus in the bone of the subject.

Inventors: Frank D. Dorman, Mechanical Engineering; Bruce D. Wigness, Surgery

Licensee: Implantable Devices Limited Partnership
Exclusive License Agreement

2. **Title:** Statewide Tobacco Endowment Process Evaluation Study

Purpose: A computerized system for the more efficient monitoring of tobacco control programs.

Inventors: Therese M. Blaine, Margaret K. Rowe, Epidemiology

Licensee: Allina Health System

Non-Exclusive Software License Agreement

3. **Title:** The University of Minnesota Operational Continuity System (UMOCS)

Purpose: A paper-based means for colleges, universities, and small businesses to perform operational continuity, alternately called disaster recovery planning.

Inventor: Judson M. Freed, Emergency Management

Licensee: University of Cincinnati

Non-Exclusive Software License Agreement

4. **Title:** Microbes and Methods for Remediation

Purpose: Methods of using a microbe containing a polypeptide that degrades, preferably detoxifies, a compound that is present in the environment.

Inventors: Hugh E. McTavish, Biological Process Technology Institute; Lawrence P. Wackett, Biochemistry, Molecular Biology, and Biophysics

Licensee: Syngenta Crop Protection, Inc.
Research Agreement

5. **Title:** Multivalent in Ovo Avian Vaccine

Purpose: A multivalent poultry vaccine effective in preventing or treating an avian disease.

Inventor: Jagdev M. Sharma, Veterinary Pathobiology

Licensee: SOTA TEC Fund; Exclusive License Agreement

6. **Title:** Hard Red Spring Wheat Variety - HJ98

Purpose: A wheat variety.

Inventors: Robert H. Busch, Gary L. Linkert, Agronomy and Plant Genetics; Ruth Dill-Macky, Donald V. McVey, Plant Pathology; John V. Wiersma, Northwest Research and Outreach Center Crookston; Ian Edwards, G.A. Hareland, Herb Schmidt, non-U

Title: Hard Red Spring Wheat Variety, - Verde

Purpose: A wheat variety.

Inventors: Robert H. Busch, Gary L. Linkert, D.O. Warnes, Agronomy and Plant Genetics; Donald V. McVey, Roy D. Wilcoxson, Plant Pathology; John V. Wiersma, Northwest Research and Outreach Center Crookston; Ian Edwards, G.A. Hareland, Herb Schmidt, non-U

Title: Suppression of Leaf Rust by Application of Roundup Ultra Herbicide to Adult Wheat Plants Containing a Glyphosate Resistant Gene

Purpose: To apply Roundup Ultra to adult wheat plants containing the Roundup Ready gene to suppress leaf rust, and possibly other pathogens.

Inventor: James A. Anderson, Agronomy and Plant Genetics

Licensee: Minnesota Wheat Research & Promotion Council; Exclusive Research Agreement

7. **Title:** **Maackia Selection #1**
Purpose: A small tree in the legume family with good cold hardiness, good tolerance to drought and low soil fertility, and good branch development.
Inventor: Harold M. Pellett, Horticultural Science
Licensee: Bailey Nurseries, Inc.
 Non-Exclusive Plant License Agreement
8. **Title:** **AMSOL Version 6.0**
Purpose: A computer program for semiempirical quantum mechanical calculations including solvation models.
Inventors: Christopher J. Cramer, Donald G. Truhlar, Chemistry
Licensee: R. W. Johnson Pharmaceutical
 Non-Exclusive Software License Agreement
9. **Title:** **SunRamp Solutions; The Development of Roller Sports Equipment Accessories**
Purpose: A new manufacturing technique and resulting skate ramp product.
Inventors: Brian K. Brashaw, Patrick K. Donahue, Suzanne M. French, Steven H. Kossett, Victor J. Krause, Robert J. Vatalaro, Natural Resources Research Institute, Duluth; Gerald D. Sabol, non-U
Licensee: SunRamp Solutions, Inc.
 Exclusive License Agreement
10. **Title:** **Compositions Based on Lignin Derivatives**
Purpose: A product with measurable cohesive strength exhibiting plastic deformation in response to an applied tensile stress.
Inventors: Yan Li, Simo Sarkanen, Wood and Paper Science
Licensee: Waste Energy Integrated Systems
 Exclusive License Agreement
11. **Title:** **Isolation and Activities of Lignin Depolymerases**
Purpose: A lignin depolymerase effective for depolymerizing kraft lignin and delignifying kraft pulp.
Inventors: Yi-Ru Chen, Nugzar N. Nutsbidze, Simo Sarkanen, Yongji Wang, Wood-Paper Science
Licensee: Waste Energy Integrated Systems
 Exclusive License Agreement
12. **Title:** **Apple Tree: Honeycrisp**
Purpose: An annual apple tree, with a crisp and juicy fruit texture, an extended harvest season, and good winter hardiness.
Inventors: David S. Bedford, James J. Luby, Horticultural Science
Licensee: Pepiniere Boerboom Nursery, Inc.
 Non-Exclusive Plant License Agreement
13. **Title:** **Azalea Selection #120**
Purpose: Deciduous azalea with tri-colored flowers, white with pink tinge and yellow blotch in the center.
Inventor: Harold M. Pellet, Horticultural Science
Title: **Azalea Selection #315**
Purpose: A deciduous azalea with pink flowers.
Inventor: Harold M. Pellet, Horticultural Science
- Title:** **Azalea Selection #193**
Purpose: A hardy deciduous azalea with a lavender-purple flower, and an early flowering.
Inventor: Harold M. Pellett, Horticultural Science
Licensee: Briggs Nursery, Inc.
 Non-Exclusive License Agreement
14. **Title:** **A Method to Produce Agarwood, an Aromatic and Highly Valuable Resin in Aquilaria Trees**
Purpose: A method to induce fragrant resin in plantation grown, young, Aquilaria trees.
Inventors: Robert A. Blanchette, Plant Pathology; Henry Heuveling Van Beek, non-U
Licensee: Rainforest Project Foundation
 Exclusive Research Agreement
15. **Title:** **MRI-Guided Interventional Mammary Procedures**
Purpose: A robust approach for the diagnosis and treatment of breast cancer.
Inventor: Nikolaos V. Tsekos, Radiology
Licensee: Artemis MRI; Exclusive Option Agreement
16. **Title:** **Infusible Grade Short-Term Cell Storage Medium for Mononuclear Cells**
Purpose: An infusible-grade storage medium capable of preserving the viability and function of stem cells, nucleated cells, and other hematopoietic cells.
Inventors: Scott R. Burger, Allison Hubel, J. Jeffrey McCullough, Laboratory Medicine and Pathology
Licensee: Protide Pharmaceuticals, Inc.
 Exclusive Option Agreement
17. **Title:** **Lacey: A New, Six-Row Spring Malting Barley Variety**
Purpose: A higher yielding barley variety with a malting quality profile acceptable to the malting and brewing industry.
Inventors: Donald C. Rasmusson, Edward L. Schiefelbein, Kevin P. Smith, Agronomy and Plant Genetics
Licensee: American Malting Barley Association
 Non-Exclusive Research Agreement
18. **Title:** **hMETIS Version 1.5**
Purpose: A software package for computing min-cut partitionings of hypergraphs.
Inventor: George Karypis, Computer Science and Engineering
Licensee: Synopsys
 Non-Exclusive Software License Agreement
19. **Title:** **Apple Tree Variety Minnewashta/ZESTAR!**
Purpose: An apple tree with vigorous early growth, good hardiness with little winter injury, and annual fruit production.
Inventors: David S. Bedford, James J. Luby, Horticultural Science
Licensee: Byland's Nurseries, Ltd.
 Non-Exclusive Plant License Agreement

20. **Title:** **Development of an EST and High Resolution Comprehensive Map for Swine**
Purpose: A strategy to rapidly improve the overall resolution of the swine genome map.
Inventors: Craig W. Beattie, Veterinary Pathobiology; Elizabeth M. Santschi, Clinical and Population Sciences, Anette Rink, non-U
Licensee: Biotechnology Research & Development Corp. Exclusive License Agreement
21. **Title:** **Placental Alkaline Phosphatase in Preparations to Stimulate Wound Healing**
Purpose: To provide methods by which PALP-enriched human placenta extracts and highly purified PALP preparations increase the number of human skin fibroblasts in cell culture.
Inventors: Jin-Sheng Huang, Zoltan Kiss, Qing-Bai She, Hormel Institute
Licensee: SOTA TEC Fund; Exclusive Research Agreement
22. **Title:** **Avian Vaccine Effective Against Infectious Bursal Disease Virus**
Purpose: A poultry vaccine effective in stimulating a protective cellular and humoral immune response to Infectious Bursal Disease Virus.
Inventor: Jagdev M. Sharma, Veterinary Pathobiology
Licensee: SOTA TEC Fund; Exclusive Research Agreement
- Inventors:** Charles L. Truwit, Radiology
5. **Title:** **Compositions Based on Lignin Derivatives**
Purpose: A composition with a measurable cohesive strength in an amount to exhibit plastic deformation in response to tensile stress.
Inventors: Simo Sarkanen, Yan Li, Wood and Paper Science

Patents Issued Prior to 1st Quarter, but not Previously Reported

6. **Title:** **Biotherapeutic Agents Comprising Recombinant PAP and PAP Mutants**
Purpose: Biotherapeutic agents which comprise recombinant PAP effective for the treatment of certain human diseases, particularly cancer.
Inventors: Fatih M. Uckun, Therapeutic Radiology; Nilgun E. Tumer, non-U
7. **Title:** **Metal-Regulated Transporters and Uses Therefor**
Purpose: Polypeptides capable of transporting metals for use in transgenic plants that may be used to remove pollutants from the soil or as nutritional supplements.
Inventors: David J. Eide, Medicine, Duluth; Mary Lou Guerinot, non-U
8. **Title:** **Process for the Continuous Culture of Cells**
Purpose: A method for cultivating cells to adapt the cells to a metabolic state characterized by low lactate production.
Inventors: Wei-Shou Hu, Anna F. Europa, Chemical Engineering and Materials Science
9. **Title:** **Apparatus for Visual Programming with Screen Flow**
Purpose: To create a program with a visual user interface.
Inventors: Tomoharu Sawahata, Wei-Tek Tsai, Tao Jiang, Akira K. Onoma, non-U
10. **Title:** **Vapochromic LED**
Purpose: A new type of sensor that reports the arrival of organic vapors with an electroluminescent signal.
Inventors: Yoshihito Kunugi, Kent R. Mann, Larry L. Miller, Christopher L. Exstrom, Chemistry
- Patents Issued**
January 2001 – March 2001
1. **Title:** **Pulmonary Administration of Soluble Complement Receptor-1 (SCR1) and its Derivatives**
Purpose: For treating diseases or disorders by direct delivery to the lungs.
Inventors: Jean F. Regal, Medicine, Duluth; James L. Levin, Carol A. Toth, non-U.
2. **Title:** **Magnetically Oriented Tissue-Equivalent and Biopolymer Tubes**
Purpose: To provide enhanced mechanical properties to the tissue-equivalent and biopolymer tubes.
Inventors: Robert T. Tranquillo, Biomedical Engineering; Daniel L. Mooradian, Laboratory Medicine and Pathology; Timothy S. Girton, Stefano Guido, Chemical Engineering and Materials Science
3. **Title:** **Method and Apparatus for Positioning a Device in a Body**
Purpose: An interventional device and medical imaging system for use in a body that is computer controlled.
Inventors: Charles L. Truwit, Haiying Liu, Radiology
4. **Title:** **Remote Actuation of Trajectory Guide**
Purpose: A surgical method and apparatus for accurately aligning the trajectory of, guiding of, and introducing or withdrawal of an instrument.

More Information

To generate copies of NIH application forms, please go to EGMS at <http://nirvana.ospa.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>.

NSF program information is at <http://www.nsf.gov/pubs/2000/nsf002/start.htm>.

NSF requires FastLane submission at <http://www.fastlane.nsf.gov>.

(For help, call the EGMS help line at 612.624.1600.)

For SPIN funding searches

See the Funding Sources section of SPA's web page at <http://www.ospa.umn.edu/>. Grantseekers can search for additional funding opportunities via SPIN, a grants database, on SPA's web site at the URL listed above. If you encounter difficulty connecting to the SPIN database, please contact facgrant@umn.edu or call 612.625.7585 to resolve the problem.

National Foundation for the Arts and Humanities

* Collaborative Research

Supporting original research undertaken by a team of two or more scholars of research coordinated by an individual scholar that because of its scope of complexity requires additional staff or resources beyond the individual's salary.

The application deadline is **September 1, 2001**. Go to <http://www.neh.fed.us/grants/onebook/collresearch.html>.

American Institute of Indian Studies

* Fellowships

the American Institute of Indian Studies announces its regular competition for fellowships in support of research conducted in India. Fellowships are available for both dissertation and post-doctoral research in all academic fields.

The application deadline is **July 1, 2001**. Applications and information are available from Frederick Asher, 338 Heller Hall, 612.624.4500.

Substance Abuse and Mental Health Services Administration

* Addiction Technology

The Substance Abuse and Mental Health Services Administration (SAMHSA) is inviting cooperative agreement applications to establish or continue addition technology transfer centers. Centers develop and maintain interdisciplinary consortia of health care and related professionals knowledgeable about research approaches to substance abuse treatment and recovery and help; translate findings into clinical practice; develop an appropriate workforce; and upgrade professional standards.

The application deadline is **June 19, 2001**. Go to <http://www.samhsa.gov>.

U.S. Department of Education

* Early Childhood Educator Professional Development

The Education Department is requesting applications to provide replicable high-quality professional development programs to improve the knowledge and skills of early childhood educators who work in early childhood development programs in urban or rural high-poverty communities and primarily serve children from low-income families.

The application deadline is **June 25, 2001**. Go to <http://www.ed.gov/GrantApps/#84.349A>.

U.S. Department of Agriculture

* Economic Diversification in Rural Areas

The Agriculture Department invites applications under the Fund for Rural America to study issues that contribute to economic diversification and sustainable development in rural areas. Projects should focus on research, education, and extension to increase economic opportunities in farming and rural communities; and expansion of locally-owned value-added processing.

The application deadline is **June 19, 2001**. Go to <http://www.usda.gov>.

* Harnessing Demographic Change to Increase Rural Opportunity

Proposals sought that incorporate elements of research, education, and extension that will help communities understand the phenomena of demographic change in rural America, develop new knowledge to address these issues, and education rural citizens on how to adapt, and capitalize on these changes.

The application deadline is **June 19, 2001**. Go to <http://www.usda.gov>.

Office of Naval Research

* Young Investigator Program

The Office of naval Research is inviting proposals under the Young Investigator Program to encourage new investigators to pursue naval research interests. Priority research areas span basic and applied science in disciplines from information, ocean and life sciences, to mathematics and engineering.

The application deadline is **November 1, 2001**. Go to <http://www.onr.navy.mil/search.htm>.

Lance Armstrong Foundation

* Issues of Cancer Survivorship

To help people manage and survive cancer. Survivorship includes both pathologic and disease therapy along with a myriad of

psycho-social and financial issues. The foundation is particularly interested in grants directly affecting patient care and those that are hypothesis driven.

The application deadline is **August 15, 2001**. Go to http://www.laf.org/Programs_Grants/Current_RFP/.

Health Effects Institute

* Health Effects of Air Pollution

Application requested for research on novel and important aspects of the health effects of air pollutants, particularly those derived from motor vehicle emissions.

The application deadline is **August 31, 2001**. Go to <http://www.healtheffects.org/RFA2000.htm>.

Greenwall Foundation

* Interdisciplinary Program in Bioethics

This program provides funding for physicians, lawyers, philosophers, economists, theologians, and other professionals to address micro and macro issues in bioethics, providing guidance for those engaged in decision making at the bedside as well as those responsible for shaping institutional and public policy.

The next two application deadlines are **August 1, 2001** and **February 1, 2002**. Go to <http://rhoberger.home.mindspring.com/exguide.html>.

Pew Charitable Trusts

* Biomedical Research and Training

To promote continued excellence in biomedical research in the U.S. and to develop research in Latin America by supporting outstanding, competitively selected biomedical scientists and fostering interdisciplinary biomedical research.

There is **no application deadline**; letters of inquiry are accepted throughout the year. Go to <http://www.pewtrusts.com/Programs/HHS/HHSGuide.cfm>.

* Global Warming and Climate Change

To reduce the emissions of carbon dioxide and other greenhouse gases that contribute to global warming; to reduce projected CO₂ emissions from the nation's electric power sector; to encourage the design and implementation of government policies and business practices that will reduce the emission of greenhouse gases.

There is **no application deadline**; letters of inquiry are accepted throughout the year. Go to <http://www.petrusts.com/Programs/Env/EnvGuide.cfm>.

* Conservation of Living Marine Resources

To protect and restore fisheries and other living marine resources by 1) educating policymakers, the media, and the public about the need to protect the marine environment; and 2) to promote public policies that protect the biological integrity of marine ecosystems.

There is **no application deadline**; letters of inquiry are accepted throughout the year. Go to <http://www.petrusts.com/Programs/Env/EnvGuide.cfm>.

* Old Growth Forest and Wilderness Protection

To provide permanent or interim protection for old-growth forest and wilderness areas in the U.S. and Canada and to encourage the adoption of forest management practices that protect the diverse ecological values of forests, particularly those on private lands. Work is

undertaken in educating and mobilizing the general public, select constituencies and policy makers, to support preservation of old-growth forests and wilderness ecosystems.

There is **no application deadline**; letters of inquiry are accepted throughout the year. Go to <http://www.petrusts.com/Programs/Env/EnvGuide.cfm>.

Surdna Foundation

* Environment

To prevent reversible damage to the environment and to promote more efficient, economically sound, environmentally beneficial, and equitable use of land and natural resources.

There are **no deadlines**. Applicants are urged to first submit a letter of inquiry. Go to <http://www.surdna.org/programs/environment.html>.

eBay Foundation

Grants

The areas of funding are: 1) kids: education, mentoring, and esteem; 2) adults: education, jobs, retraining, and volunteerism; 3) community: economic revitalization and community improvement; and 4) Global: environmental, global impact. Programs should utilize technology to empower individuals, particularly programs which integrate the use of the Internet.

The next deadlines are **June 15, September 15, and December 15, 2001, and March 15, 2002**. Go to <http://pages.ebay.com/community/aboutebay/foundation/grantapp.html>.

Mazda Foundation

* Grants

Awards grants to programs promoting education and literacy, environmental conservation, cross-cultural understanding, social welfare, and scientific research.

The application deadline is **August 15, 2001**. Go to <http://www.mazdafoundation.org/grant.html>.

Fax number	612.624.4843	SPA's Website: http://www.ospa.umn.edu
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NIH, CDC, HRSA (grants)	Dara Little	624.4121 littl025@umn.edu
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NIH, EPA, USDI, DOC, EPA, NEA, NEA (grants)	Jim Garrison	625.1359 garri005@umn.edu
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Instructions on Changing Addresses

SPA cannot change the faculty mailing list. It is a list we *buy* monthly.

Human Resources generates the faculty mailing list and departments must initiate changes by contacting their departmental payroll person or Human Resources coordinator.

For changes to our supplemental mailing list, which does not include faculty, please complete the following and send it to the address below:

Change Name: _____
Add Department: _____
Delete Building & Room No.: _____
Mail Delivery Code (if on campus): _____
City, State, Zip (if off campus): _____

TO: Danielle Billington
Sponsored Projects Administration
450 McNamara Alumni Center
200 Oak Street SE
Minneapolis, MN 55455



Made with agribased inks and at least 10 percent post-consumer waste.

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Sponsored Projects Administration
450 McNamara Alumni Center
200 Oak Street SE
Minneapolis, Minnesota 55455-2070

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UNIVERSITY OF MINNESOTA

Research Review



Sponsored Projects Administration
Patents and Technology Marketing
Oversight Analysis and Reporting

June 2001

Volume XXX, Number 12
<http://www.ospa.umn.edu>

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Your News Here?

Research Review welcomes contributions. It arrives in campus mail about the 10th of the month; it goes to press six working days before the end of the month. Contributions are due 11 working days before the end of the month. Please contact Bruce Erickson, editor, at 612.625.2354, erick210@umn.edu.

Research Review Going Electronic

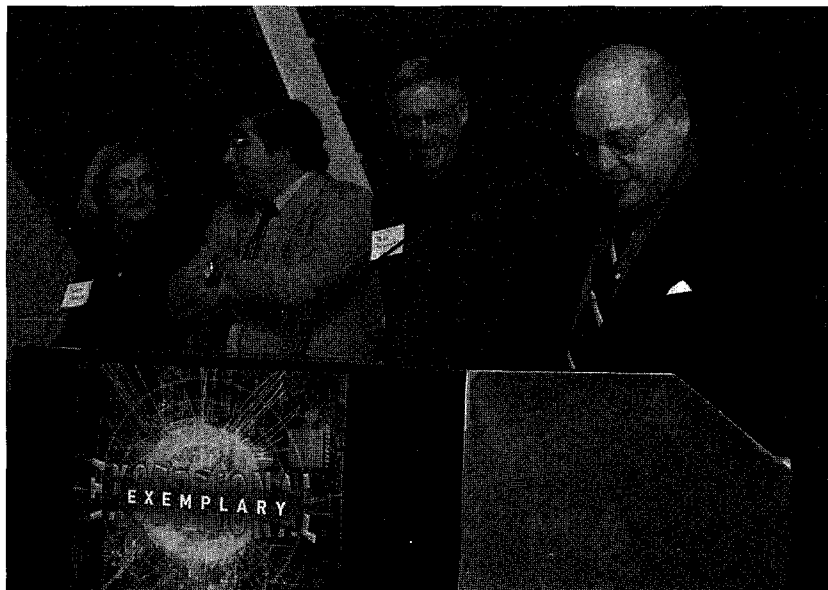
Sponsored Projects Administration (SPA) is changing *Research Review*. Over the next year, SPA will transition the print publication into electronic communication.

Starting in July 2001, SPA will start sending news, policies, and other information regarding sponsored projects to University faculty and staff via email at least once a month. Additionally, SPA will continue to post news and other timely information to its home page while staff remodel the web site.

In August 2001 SPA will issue the first of four quarterly print *Research Reviews* with additional articles and a brief recap of some of the information contained in the electronic communications to bridge the change in formats.

"This change will allow us to get important information out to our constituents more quickly, efficiently, and less expensively," said Sheryl Goldberg, associate director of SPA.

SPA would like feedback while making this change, so please send comments to sparecpt@umn.edu.



Chris Maziar, Frank Cerra, Robert Bruininks and Mark Yudof at the NIH Exceptional to Exemplary reception on May 30th in the McNamara Alumni Center. Not pictured, WinAnn Schumi and David Hamilton. See the related article on page five.

RESEARCH REVIEW

Volume XXX, Number 12

June 2001

Editor: Bruce Erickson

Associate Vice President: Ed Wink

Research Review is a monthly publication of the Office of the Vice President for Research. Its purpose is to inform faculty, students, administrators, and staff who are involved with sponsored research and technology transfer about procedures and policies of granting agencies, about institutional policy, about funding opportunities, and about other information necessary to the preparation of research proposals.

Research Review welcomes ideas and comments from all readers. Write to *Research Review* at 450 Gateway Building, 200 Oak Street SE, Minneapolis, MN 55455-2070, or call Bruce Erickson, 612.625.2354, erick210@umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Fringe Benefit Rates

When developing budgets for proposals, please use the following rates.

Graduate and Professional Student Assistants

New rates effective July 1, 2001

TA, RA, AF: standard of gross salary	\$6.24	+	16.9%
TA, RA, AF: advanced master's or Ph.D.	\$1.04	+	16.9%
Summer session semester TA, RA, AF	—		16.9%
Summer session TA, with tuition	\$14.78	+	16.9%
Summer session TA, without tuition	—		16.9%

Professional program assistant	—		16.9%
Dental fellow *	\$4.45		—
Medical fellow *	\$3.12		—

To the rates listed above, add 7.7% to the 16.9% when a graduate student is enrolled for fewer than three credits, or less than one credit for advanced master's students and Ph.D. candidates. This charge is for Social Security (6.2%) and Medicare (1.5%).

* The additional 7.7% is never charged for dental or medical fellows, or medical fellow specialists. This is a change from previous years.

For more information about GA job classes and fringe rates, contact George Green, associate dean of the Graduate School 612.625.7368, green007@umn.edu.

Other Job Classes

	Civil Service	Academic	Post-doc class #9546	Graduate Assistant
7/1/00 - 6/30/01	27.7%	27.5%	15.4%	17.5%
7/1/01 - 6/30/02 revised	31.2%	32.5%	19.3%	24.6%
7/1/02 - 6/30/03 revised projection	32.9%	34.4%	20.6%	27.3%

Fringe benefit rates are determined by the Accounting Services Department; call Vivian Fickling, 612.624.2009. Complete details of fringe benefit rates for all classes of UM employees are available at http://process.umn.edu/groups/ppd/documents/rates/fringe2000_01.cfm.

Rate changes will be reflected in this section.

Facilities & Administrative (F&A) (Indirect Cost) Rates

The rates listed at right come from the University's most recent F&A/indirect cost agreement, dated **December 16, 1999**. This date should be used where required on applications.

In rare cases, particular grant programs have maximum rates that are lower than the rates listed. If you need to know which rate to use for a proposal, please call Sponsored Projects Administration at 612.624.5599. If you have questions on F&A/indirect cost rate development, please call Steve Bradley, 612.626.9895.

* A project is considered off-campus if more than 50 percent of the direct salaries and wages of its personnel are incurred at a site neither owned nor leased by the University.

Research (MTDC base)

On-campus	48.00%	FY 2000
	48.50%	FY 2001-03
Off-campus*	26.00%	FY 2000-03

SAFL on-campus	59.00%	FY 2000-03
SAFL off-campus*	26.00%	FY 2000-03
Hormel on-campus	50.00%	FY 2000-03
Hormel off-campus*	26.00%	FY 2000-03

Other Sponsored Activity (MTDC base)

On-campus	32.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

Instruction (MTDC base)

On-campus	52.00%	FY 2000-03
Off-campus*	26.00%	FY 2000-03

The entire agreement may be found at http://www.fpd.finop.umn.edu/groups/ppd/documents/rates/f_and_a_rates.cfm.

MTDC (Modified Total Direct Cost):

Total direct cost minus:

- graduate student fringe benefits
- equipment
- capital expenditures, e.g., new building construction
- charges for patient care
- tuition remission
- rental costs of off-site facilities
- scholarships and fellowships
- the portion of each subgrant and subcontract in excess of \$25,000 per project period

For more information on equipment and subgrants and subcontracts in excess of \$25,000, see the April 1999 *Research Review*, or go to <http://www.ospa.umn.edu/resrev.htm>.

Reminder**Effective August 1, New Deadline for Delivering Proposals to SPA**

Effective August 1, 2001, the Sponsored Projects Administration (SPA) will move its deadline for receiving proposals from 1:00 p.m. on the day the proposal must be sent out to 5:00 p.m. the day **BEFORE** the proposal must be sent out.

For example, if a sponsor must receive your proposal on Friday;

- **local sponsors:** SPA must receive your proposal by 5:00 p.m. Thursday so staff can review and courier your proposal Friday
- **sponsors within the continental U.S.:** SPA must receive your proposal by 5:00 p.m. Wednesday so staff can review and Fed Ex your proposal Thursday for receipt at the sponsor Friday

In summary, get your proposal to SPA by 5:00 p.m. the day before SPA must send it out.

This change comes as a result of feedback from members of the SPA Advisory Committee, consisting of representatives from the colleges and departments. Members of the committee felt the new deadline would give them more time to answer and resolve proposal questions and issues with the sponsor and SPA prior to the submission deadline. SPA discussed the impact of the new deadline with the Senate Research Committee, Council of Research Associate Deans, and the Office of the Vice President for Research before implementing this policy.

Reminder of Proposal Requirements

Please provide the following when delivering proposals to SPA:

- The correct number of copies for the sponsor and one copy for SPA
- The required signatures on the Proposal Routing Form (PRF) and other documentation
- The name, email, and phone number written on the PRF of a person SPA can contact with questions or problems regarding the proposal

SPA staff handle proposals in the order in which the proposals arrive at SPA. If SPA receives a proposal after the 5:00 p.m. deadline, they will do their best to review it, but principal investigators and/or departments will take responsibility for arranging delivery to the sponsor.

Levels and Trends FY 2000 Report Available

The Office of Oversight, Analysis, and Reporting (OAR) compiled the data for Levels and Trends in Sponsored Programs Fiscal Year 2000, and recently posted it to their web site at <http://www.oar.umn.edu>. Levels and Trends is the University's annual report of research and technology transfer statistics.

The University of Minnesota posted record increases in sponsored research expenditures, awards, and proposals in FY 2000. University faculty and researchers submitted 3,212 research proposals requesting over \$1.18 billion in funding which is an increase of nearly 30 percent

over fiscal year 1999 and the first time the University has passed the billion-dollar mark. University researchers effectively competed for over \$455 million in research and sponsored program awards, almost a 25 percent increase and a new record for the University. Research expenditures also set a new high of \$376 million, a 12 percent increase over last year.

As in previous years, the federal government continues to be the largest sponsor of externally funded research at the University. Awards from the federal government totaled nearly \$305 million in FY00, an increase of 25 percent over the

Reminder**FedEx Delivery Requirement**

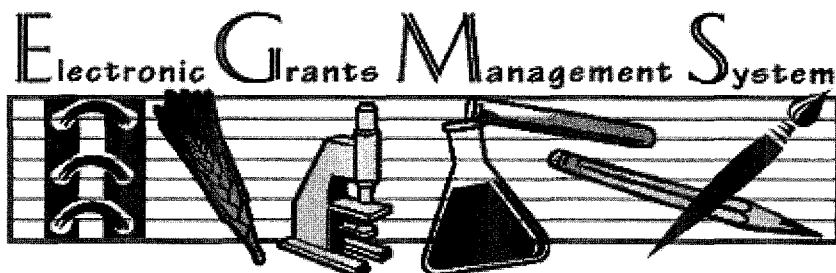
Sponsored Projects Administration (SPA) staff would like to remind principal investigators that they need to allow extra time for delivery when preparing proposals going outside the continental U.S.

For example, Federal Express requires a minimum of two days to deliver proposals to Alaska, Hawaii, and Europe. In the past, SPA received, reviewed, and sent out a proposal on the same day to the U.S. Department of Commerce in Juneau, Alaska. Delivery of the proposal required two days and unfortunately the proposal did not make the deadline, was refused, and returned to the SPA office.

It is important to remember that it will take more time to deliver proposals outside the U.S. If you have any questions regarding longer delivery times that may affect your proposal, please contact your grant administrator.

previous year. Significant increases in funding were awarded by the National Institutes of Health, the National Science Foundation, the Department of Defense and the Department of Agriculture. The extent of the increases across federal agencies is a positive indicator that research activity of the University of Minnesota is attracting broad support across many academic disciplines.

The Sponsored Projects Administration (SPA) also links to Levels and Trends on their home page at <http://www.ospa.umn.edu>.



The EGMS Generic Proposal Option

New Feature for Creating NIH- or NSF-style Budgets within a Generic Proposal

The December 2000 issue of *Research Review* included a review article on the EGMS Generic proposal option. That article defined what a 'Generic' proposal is, discussed how to use the Generic option, and described instances in which the Generic option cannot be used. Since that time, three new features have been added to the Generic option: the ability to create an NIH- or NSF-style budget, the flexibility to customize the list of Other Support items included in a proposal, and the availability of 'non-competing continuation' as a Generic proposal type. This article reviews one of these features, the new NIH- and NSF-style budgets, and provides a list of resources related to the Generic proposal option.

NIH- or NSF-style budgets

Previously, EGMS converted the budget details entered in the Budget section for a Generic proposal into a brief, summary project budget for submission to the sponsor. Many EGMS users submit proposals to business and industry or private foundation sponsors who ask for budgets formatted on NIH- or NSF-style budget pages. To enhance the utility of the Generic option, the EGMS software has been upgraded to offer the choice to generate a traditional Generic summary budget, an NIH-style budget, or an NSF-style budget.

When preparing a Generic budget now, the user chooses the appropriate budget page format from the options (Generic, NIH-like, or NSF-like) listed on the Budget Information subsection screen. The two additional budget page formats are available in both complete EGMS proposals and Budget Only proposals. If the user chooses NIH- or NSF-style for the budget page format, EGMS displays the budget details on pages that mimic the federal sponsor forms. If the user indicates an NSF-style budget format for a Generic proposal, the Patient Care subsection of the Budget section is replaced by the Participant Support subsection, as this budget information is requested for NSF proposals.

Resources

December 2000 *Research Review* article on the Generic proposal option

<http://www.ospa.umn.edu/rr/00-12/x06egms1.htm>

List of sponsors accepting NIH- or NSF-style budgets

As EGMS users take advantage of the new budget page format options, EGMS staff will assemble a list of sponsors who accept EGMS Generic proposals with the NIH- or NSF-style budget formats. Look for future *Research Review* articles about the EGMS Generic proposal option or contact the EGMS business helpline for more information.

EGMS business helpline

If you have questions about whether the EGMS Generic option will work for a particular sponsor or in a particular format or about any of the new Generic features, contact the EGMS business helpline at 612.624.1033. If necessary, the helpline staff will refer calls to the appropriate grant administrator.

EGMS Open Lab Schedule

June - September 2001

Sponsored Projects Administration offers hands-on, open user labs for new and experienced EGMS users. An EGMS grants administrator is available to answer questions and demonstrate EGMS. Registration is not required for labs.

Labs are offered on Wednesdays from 9:00 a.m. to 11:30 a.m., room 664, Children's Rehabilitation Center (south of the Boynton Health Service, East Bank). June through September 2001 the lab will be offered on:

June 13	July 11	August 8	September 5
June 27		August 22	September 19

In addition, Training Services provides open labs with a trainer present to answer user questions on EGMS, Financial FormsNirvana, and other financial policies and procedures. You can find the current schedule of Training Services labs at <http://training.finop.umn.edu/brochure/labs.html>.

A Caution Regarding Browser Upgrades Netscape 6 Poses Problems for Printing EGMS PDF Documents

The November 2000 issue of *Research Review* included an article about problems experienced when the newly released Microsoft Internet Explorer 5.5 is used for printing EGMS PDF (portable document format) documents. With Internet Explorer 5.5, the incompatibility problem rests with Microsoft's browser software. The EGMS software code used for the printing functions has not been altered at all. According to the National Science Foundation (NSF), investigators using PDF documents on NSF's FastLane site experience a similar problem with Internet Explorer 5.5.

Early reports from both NSF and the EGMS software development team indicate that Netscape 6, the newest Netscape browser, also exhibits problems displaying and printing PDF documents. While Netscape 6 is not widely used at the University yet, we want to caution you that if you choose to upgrade to Netscape 6, you will not be able to print EGMS PDF documents using that browser.

If you have Internet Explorer 4 or 5.5 or Netscape 6, print your EGMS PDF documents using a different browser on your computer or by using a different computer with an appropriate browser. The three browsers that can be used with EGMS for PDF printing are Netscape 3.0, Netscape 4.x, and Internet Explorer 5.

Microsoft is currently in the beta-testing stage for its new Internet Explorer 6. We will publish information about Internet Explorer 6 and its ability to display and print EGMS PDF documents as it becomes available.

If you are using Netscape 3.0 or 4.x or Internet Explorer 5 but are having trouble printing, contact the EGMS technical helpline at 612.624.1600 or egms@boombox.micro.umn.edu. The helpline staff can assist you in checking that the Adobe Acrobat Reader software required to generate PDF documents has been installed into your browser correctly.

NIH Exceptional Designation University thanks those who helped remove designation

President Mark Yudof and other University administrators offered their thanks and appreciation to the faculty and staff for their work and dedication to help remove the University's 'exceptional' designation with the National Institutes of Health (NIH).

The celebration took place May 30 in the McNamara Alumni center and was put together after the University received word from NIH earlier this year "...commending the University on its efforts and commitment in implementing corrective actions to improve the quality and effectiveness of its sponsored programs administration."

Certified Approver Examination Schedule

on the web at <http://www.oar.umn.edu/CA/schedule.htm>

June - September 2001

Preregistration Required

Please call 612.625.9057 with questions about the
Certified Approver Program

Locations are subject to change

<u>Date</u>	<u>Day</u>	<u>Part</u>	<u>Start</u>	<u>Location</u>
June				
21	Thursday	1	9:00 a.m. only	9 Eddy Hall
July				
9	Monday	2	9:00 a.m. only	9A Eddy Hall
18	Wednesday	1	9:00 a.m. only	9B Eddy Hall
August				
6	Monday	2	9:00 a.m. only	9A Eddy Hall
22	Wednesday	1	9:00 a.m. only	9B Eddy Hall
September				
10	Monday	2	9:00 a.m. only	9A Eddy Hall
26	Wednesday	1	9:00 a.m. only	9B Eddy Hall

What's New in Grants Management

An index to Changes and
Announcements

June 2001

(month twelve of UM fiscal year 2001)

This month there are no changes or announcements regarding grants management.

FSS Shared Queries Update

Staff from Financial Systems Support (FSS) and the Office of Oversight, Analysis, and Reporting (OAR) recently added a new query to the Shared Queries page in response to users' requests.

To get to this query:

- 1) Go to the Financial Reports web page at <http://financial.reports.umn.edu/>.
- 2) Click on the Shared Queries button.
- 3) Enter your X500 information if necessary
- 4) Select the Grants Management section
- 5) Select Proposal and Award Activity Report (by Area)

Using data from the Sponsored Projects Administration's (SPA) proposal and award database, departments can easily find:

- which principal investigators have submitted proposals
- what proposals have been awarded
- requested dollar amounts
- awarded dollar amounts
- agencies to whom the proposals have been submitted

Users enter the following information:

- √ area number
- √ start date and end date
- √ sort choice of agency (A) or principal investigator (P)
- √ report type, detail (D) or summary (S)

Print the output on legal size paper in landscape format and it will include:

- principal investigator name
- proposal number
- agency name
- proposal submission date
- award date (if awarded)
- fund, area, org (if awarded)
- requested amount
- awarded amount

A summary of the data is also included with the total number of PIs who have submitted proposals, total number of proposals submitted, total number of agencies to whom a proposal was submitted and total number of proposals awarded.

If you have any comments or suggestions regarding this query, please email them to fsshhelp@tc.umn.edu or contact OAR at 612.625.9057. FSS is working with OAR to allow departments to download this information into desktop applications. Departments would format and sort the results as appropriate. The Research Review will provide more updates as the information becomes available.

F&A [Indirect] Rates now apply to Physics Shop Charges

Previously, the Physics Shop was the sole university Internal Service Organization (ISO) exempt from Facilities & Administrative (F&A) rates application for its direct costs charged to sponsored agreements. Based upon a recent agreement, this will no longer be the case. This change promotes consistency with established University practices of applying F&A rates for all ISO's.

SPA will apply these changes as follows:

- Effective July 1, 2001, all *new* and *competitive renewal* proposals sent to SPA must budget for F&A rates to Physics Shop charges on sponsored agreements with:
 - proposal budgets that continue to clearly identify Physics Shop charges
 - equipment fabricated in the Shop listed as Equipment on the grant budget to ensure F&A rates will not be applied to the charges

However, projects awarded under the prior rate exemption will continue under the previous rule for the current project period including:

- Projects in progress
- Projects awarded but not started
- Already submitted proposals
- Non-competing continuation proposals
- Supplemental requests related to these projects

EGMS is being modified to accommodate the July 1, effective date. Call the EGMS help line (612.624.1033) or your grant administrator if you have any questions.

NSF New Electronic Signature Process: Effective June 1

For the past several months, NSF has been assessing various solutions for use in implementing electronic signatures for proposals submitted to the Foundation. Upon consideration of the results of pilots conducted on electronic signatures, as well as reviewing the existing legal and regulatory requirements relative to government-wide certification requirements, the Foundation has concluded that the most appropriate method for obtaining electronic signatures is to require only Authorized Organizational Representative (AOR) signatures in proposals submitted to NSF.

The result of this new approach is that NSF will now receive an electronic password-based signature from the AOR, but will no longer require the signature (paper or electronic) of any identified PI or co-PI. With implementation of this electronic signature strategy, NSF will be able to eliminate the requirement for organizations to submit a paper signed Proposal Cover Sheet within five days following the electronic submission of the proposal.

An addendum to the Grant Proposal Guide will be issued in the near future that implements this new electronic signature process for use in submission of proposals to NSF.

Any questions regarding the new signature policy should be addressed to the Policy Office, Division of Contracts, Policy & Oversight by e-mail to policy@nsf.gov or by phone to: (703) 292-8243. For FastLane user support, phone 1-800-673-6188 or e-mail fastlane@nsf.gov.

What This New Process Means to the University of Minnesota Faculty

PIs and CoPIs will no longer have to sign a paper copy of the certification page. Also, subawardees will not be required to sign certification pages or budget pages, but SPA will require a letter of support from the subawardee's AOR (see Q & A section).

Please note that one full copy of the proposal must accompany a completed draft copy of the Proposal Routing Form (PRF) before the proposal will be submitted by SPA. This process should also be followed by coordinate campuses, Morris and Duluth, by submitting through their appropriate research office. Please note (as stated in the Q & A section below): **signed budget pages are no longer required for supplemental requests.**

Frequently Asked Questions Regarding Electronic Signatures

How will PIs and co-PIs sign the proposal in the new electronic signature process?

Effective June 1st, NSF requires only an Authorized Organizational Representative signature in submission of a proposal to NSF. The signature (paper or electronic) of the PI and any identified Co-PIs is no longer required.

Is the organization responsible for collecting PI signatures for proposals submitted to NSF?

The signature (on paper or in electronic form) of the PI and any identified Co-PIs is no longer required on proposals submitted to NSF. This change in NSF policy does not negate, or in any way impact, requirements imposed by an organization's internal routing and approval process.

At what point does NSF consider a proposal to be submitted?

A proposal is considered to be submitted and to have met a stated deadline when the "Submit" button is clicked in FastLane.

How will subawardee signatures be handled in the e-signature process?

The new electronic signature policy eliminates the requirement for the proposing organization to provide a paper copy of the subaward budget signed by the AOR of the subawardee organization as part of its proposal submission to NSF.

Please note that SPA will require a letter of support from the subawardee's AOR.

What if an existing program announcement or solicitation specifies that a paper proposal Cover Sheet should be submitted?

Proposals submitted after June 1st that respond to standing or existing announcements or solicitations must comply with the electronic signature requirement, even if the announcement or solicitation specified that a signed paper Cover Sheet should be submitted.

Are signed budgets still required when submitting supplemental funding requests?

Supplemental funding requests must now be submitted completely electronically via FastLane and the same process of electronic signatures applies. With implementation of electronic signatures, a signed paper copy of the supplemental funding request budget is no longer required to be submitted to NSF.

With implementation of the electronic signature process, are all pre- and post-award actions able to be done electronically?

There are three post-award actions that cannot be completed electronically at this time. They are: Change of PI, Transfer of a Significant Portion of the Project Effort (Subaward), and PI Transfers. NSF is in the process of converting these remaining paper processes to electronic formats. Further information on processing of these transactions will be provided, when available.

More Information

To generate copies of NIH application forms, please go to EGMS at <http://nirvana.ospa.umn.edu>, or to NIH at <http://grants.nih.gov/grants/forms.htm>. NSF program information is at <http://www.nsf.gov/pubs/2000/nsf002/start.htm>. NSF requires FastLane submission at <http://www.fastlane.nsf.gov>.
(For help, call the EGMS help line at 612.624.1600.)

For SPIN funding searches

See the Funding Sources section of SPA's web page at <http://www.ospa.umn.edu/>. Grantseekers can search for additional funding opportunities via SPIN, a grants database, on SPA's web site at the URL listed above. If you encounter difficulty connecting to the SPIN database, please contact facgrant@umn.edu or call 612.625.7585 to resolve the problem.

U.S. Department of Education**Arts in Education**

Applications sought to develop, document, evaluate, and disseminate innovative models that integrate the arts into core elementary and middle school curricula through partnerships of arts and education specialists. Eligible applicants are one or more local educational agencies working in partnership with one or more state or local non-profit governmental arts organizations, state educational agencies or regional education service agencies, institutions of higher education, and/or other public and private agencies with expertise in the arts.

The application deadline is July 16, 2001. Potential applicants should first contact a State Single Point of Contact listed at <http://www.whitehouse.gov/omb/grants/spoc.html>. For other information contact Margaret McNeely, 202.260.1335, artsdemo@ed.gov.

Department of Energy**Ecosystem Research**

Research grants to improve the scientific basis for predicting or detecting effects of simultaneous changes in climate and atmospheric composition on terrestrial ecosystems through laboratory or field research and modeling of direct or indirect effects of environmental changes on terrestrial ecosystems, processes, and structures.

The application deadline is July 2 for recommended pre-applications, and August 13, 2001 for full applications. Go to <http://www.sc.doe.gov/production/grants/grants/html>. For additional information contact Jeffrey Amthor, 301.903.2507, Jeff.Amthor@science.doe.gov.

Centers for Disease Control**Suicide Prevention Research Center**

Funding for a cooperative agreement for a suicide prevention research center that targets at-risk populations, including American Indian/Alaskan Native, African-American male, young adolescents, and elderly populations, through epidemiologic research.

The application deadline is July 9, 2001. Call 888.472.6874 for applications, referring to announcement 01069. For additional information contact Joyce McCurdy 770.488.4410, jmm6@cdc.gov, or go to <http://www.cdc.gov>.

NASA**Space Life Sciences**

For research investigations related to research opportunities in space life sciences, focusing specifically on fundamental space biology, bio-astronautics research, and astrobiology.

The application deadline is August 28, 2001. Go to <http://nais.msfc.nasa.gov/cgi-bin/EPS/bizops.cgi?gr-D&pin+04NRA-01-0BPR-03>. For other information contact Louis Ostrach 202.358.0870, lostrach@mail.hq.nasa.gov.

Health and Human Services**Research Integrity**

For empirical research on the institutions, processes, and values that affect integrity in research. Areas of interest include: research norms and practices; institutional climate and responsibility; education on the responsible conduct of research; mentor/trainee relationships; acquisition, management, and sharing of data; responsible authorship; the integrity of publication practices and the research record; issues that arise from collaborations; conflict of interest; and the meaning of research misconduct, regulation, policies, and guidelines.

Letters of intent are due October 15, 2001; final proposals due November 19. Go to <http://grants.nih.gov/grants/index.cfm>. Click on the date. Refer to RFA-NS-02-005.

**National Institutes of Health
National Center on Complementary
and Alternative Medicine****Postdoctoral Research in
Complementary, Alternative
Medicine**

NCCAM requests applications for individual National Research Service Award research fellowships for research training in specified areas of biomedical and behavioral research that relate to complementary and alternative medicine.

Application deadlines are April 5, August 5, and December 5 annually. Go to <http://grants.nih.gov/grants/guide/pa-files/PA-01-088.html>. For other information contact Nancy Pearson, 301.594.3621, pearsonn@mail.nih.gov.

National Geographic Society

Grants

Grants for scientific field research and exploration. Applications are accepted in the areas of anthropology, archaeology, astronomy, biology, botany, geography, geology, oceanography, paleontology, and zoology. Projects should have a geographic dimension and relevance to other scientific fields; preference is given to multidisciplinary projects that address environmental issues. Applications should have a Ph.D., or equivalent, and a minimum of three published articles in peer-reviewed journals. Doctoral candidates are occasionally awarded grants.

Applications are accepted at any time. Go to <http://www.nationalgeographic.com/research/grant/rg1.html>. For other information call 800.647.5463, cre@ngs.org.

Tiffany and Company

Arts and Environment

A new foundation planning to support decorative, performing, and visual arts; arts and crafts education; arts preservation; and environmental conservation.

Proposals may be submitted at any time. Contact the Tiffany & Co. Foundation, 727 Fifth Avenue, New York, NY 10022; <http://www.tiffanyandcofoundation.org>.

International Federation of University Women (IFUW)

Fellowships and Grants

Grants for advanced research, study, and training for women graduates. The awards are intended to help finance short graduate and postgraduate study, research, and training projects, and to serve as complementary funds for longer programs. Applicants must be well started on

the research program featured in the application.

Applications must be obtained through respective national headquarters; applicants must be members of the IFUW.

The international application deadline is November 2, 2001. Deadlines for national affiliates may vary by country but will normally fall between September 1 and October 1, 2001. Go to http://www.ifus.org/I_fell.htm.

Council for International Exchange of Scholars

Fulbright Scholar Program

Offers faculty, professional, teachers, and students the opportunity to conduct research, teach, or study abroad. This award, #2580, is for lecturing. The grantee will teach courses in international business to advanced undergraduates and master's students at the Iberoamerican University, Leon, Mexico. The desired specializations are international marketing, economic globalization, foreign investment, and related areas. Fluent Spanish is required, although classes may be taught in English.

The application deadline is August 1, 2001. Contact Carol Robles 202.686.6238, crobles@iie.org. Go to <http://www.iie.org/cies/award/2002/disc/level4/Int2580.htm>.

Department of Defense

U.S. Army

Research in Behavioral Science

Research leading to a valid understanding of cognitive functioning. Particular interest is in cognitive research that can be shown to play a significant role in improving training. Investigations that focus on purely physiological mechanisms or psychopathology cannot be considered; however neuroscience approaches to memory, cognition, and personality are not excluded.

The application deadline is October 10, 2001. Go to <http://fundingopps.cos.com/cgi-bin/getRec?id=61794>. For other information, call 703.617.8641, drillings@ari.army.mil.

Kazanjian Economics Foundation

Grants

To increase economic literacy, with special attention given to proposals with national impact that address: 1) promoting economic literacy through economic education; 2) finding new ways to teach economics; 3) testing the impact of economic education; and 4) promoting programs that help otherwise disenfranchised youth or adults learn to participate in the economic system.

Proposals are accepted by February 15 or September 15 annually. Go to <http://www.kazanjian.org/guidelines.htm>.

Society for Technical Communication

Research Grants

The Society engages in scientific, literary, and educational activities designed to advance the theory and practice of the arts and sciences of technical communication in the following areas: audience analysis and understanding; collaboration and team-based projects; designing for visualization; designing new documentation processes; hardcopy and

online evaluation; information dissemination tools; professional, social, and environmental trends affecting technical communicators; research models for technical communication; settings for writing and internationalization; and the value of technical information projects.

The annual deadlines are February 15 and October 15. Contact Helene Levy Schultz, 1120 Saint Clair Avenue, St. Paul, Minnesota 55105-2846, helene.schultz@unisys.com. Go to http://www.stc.org/grants_loans.html.

Research Corporation

General Foundation Awards

These awards offer support for projects that fall outside regular programs, but that enhance science research or that bear on the infrastructure of science.

Prospective applicants must speak with a program officer before submitting a brief preliminary letter; full proposals will be invited. Call 520.571.1111, awards@rescorp.org, or go to <http://www.rescorp.org/genl.html>.

Cottrell Scholars Awards

Awards seek to reinforce university science departments, mentorship, and communication. Designed for younger faculty members who wish to excel at both teaching and research.

The application deadline is September 1, 2001. Go to <http://www.rescorp.org/csguide.html>.

Minneapolis Medical Research Foundation

Pre- and Postdoctoral Trainees, and Junior Faculty

The Center for Addiction and Alternative Medicine Research at Minneapolis Medical Research Foundation (MMRF) is one of nine Centers sponsored by NIH, Office of Alternative Medicine, and the only one focusing specifically on drug abuse. The Center is funded for three trainee positions. All trainees must be U.S. citizens or have permanent residency status. Graduate and postdoctoral trainees may have had no more than one year of previous NIH training grant support.

The purpose of these stipends is to allow trainees who are receiving mainstream scientific training to direct a portion of their attention to the methodologically rigorous study and evaluation of alternative medicine approaches to the treatment of drug abuse or diseases related to drug abuse. Trainees need not focus their entire research effort in this area, but alternative medicine must represent a sufficient emphasis to allow them to pursue careers in this area.

Graduate student (one position): Two years of support at the standard NIH rate is available. Students must be currently enrolled in a graduate training program in an appropriate research discipline such as, but not limited to, pharmacology or psychology, and making satisfactory progress toward their degree. Mentors may be faculty at MMRF or the University of Minnesota with an interest in alternative medicine.

Postdoctoral trainee (one position): Two years of support at the standard NIH rate is available. Trainees may have either Ph.D. or M.D. degrees, but the purpose of the award is research training. Clinical work may be allowed, but only insofar as it supports the research training objective. Mentors may be faculty at MMRF or the University of Minnesota with an interest in alternative medicine.

Junior Faculty (one position): Two years of partial support is available to existing full time MMRF or University of Minnesota faculty at the assistant professor level. Awardees must

devote time and effort to alternative medicine research commensurate with their level of support. Applicants should identify a mentor at MMRF or the University of Minnesota who can assist in their training.

Applicants for these positions should send a CV, cover letter describing their career objectives, and letter of support from their proposed mentor to:

Charlotte Long, Coordinator
Career Development Program
Center for Addiction and Alternative
Medicine Research
914 South Eighth Street, Suite D-917
Minneapolis, MN 55404

Fax number	612.624.4843	SPA's Website: http://www.ospa.umn.edu
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USDA, Navy (grants), NIH, CDC, HRSA (grants)	Jason Jacobs	626.2724 j-jaco@umn.edu
Foundations; NIH, CDC, HRSA	Judy Krzyzek	624.2546 krzyzek@umn.edu
Foundations, NIH, CDC, HRSA (grants)	Kathleen Doy	624.2086 kdoy@umn.edu
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NIH, CDC, HRSA (grants)	Dara Little	624.4121 litl025@umn.edu
NIH, USDE, DOC, EPA, NEH, NEA	Karen Sachi	624.0895 sachi003@umn.edu
NIH, EPA, USDI, DOC, EPA, NEA, NEA (grants)	Jim Garrison	625.1359 garri005@umn.edu
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Indirect Cost, Effort Certification		
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Duluth, Office of Research & Technology Transfer		
Sr. grant and contract administrator	Jim Loukes	218.726.7583 jloukes@ub.d.umn.edu
Sr. grant and contract administrator	Janice Sakry	218.726.6593 jsakry@d.umn.edu
Morris, Grants Development, http://www.mrs.umn.edu/services/grants		
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Instructions on Changing Addresses

SPA cannot change the faculty mailing list. It is a list we *buy* monthly.

Human Resources generates the faculty mailing list and departments must initiate changes by contacting their departmental payroll person or Human Resources coordinator.

For changes to our supplemental mailing list, which does not include faculty, please complete the following and send it to the address below:

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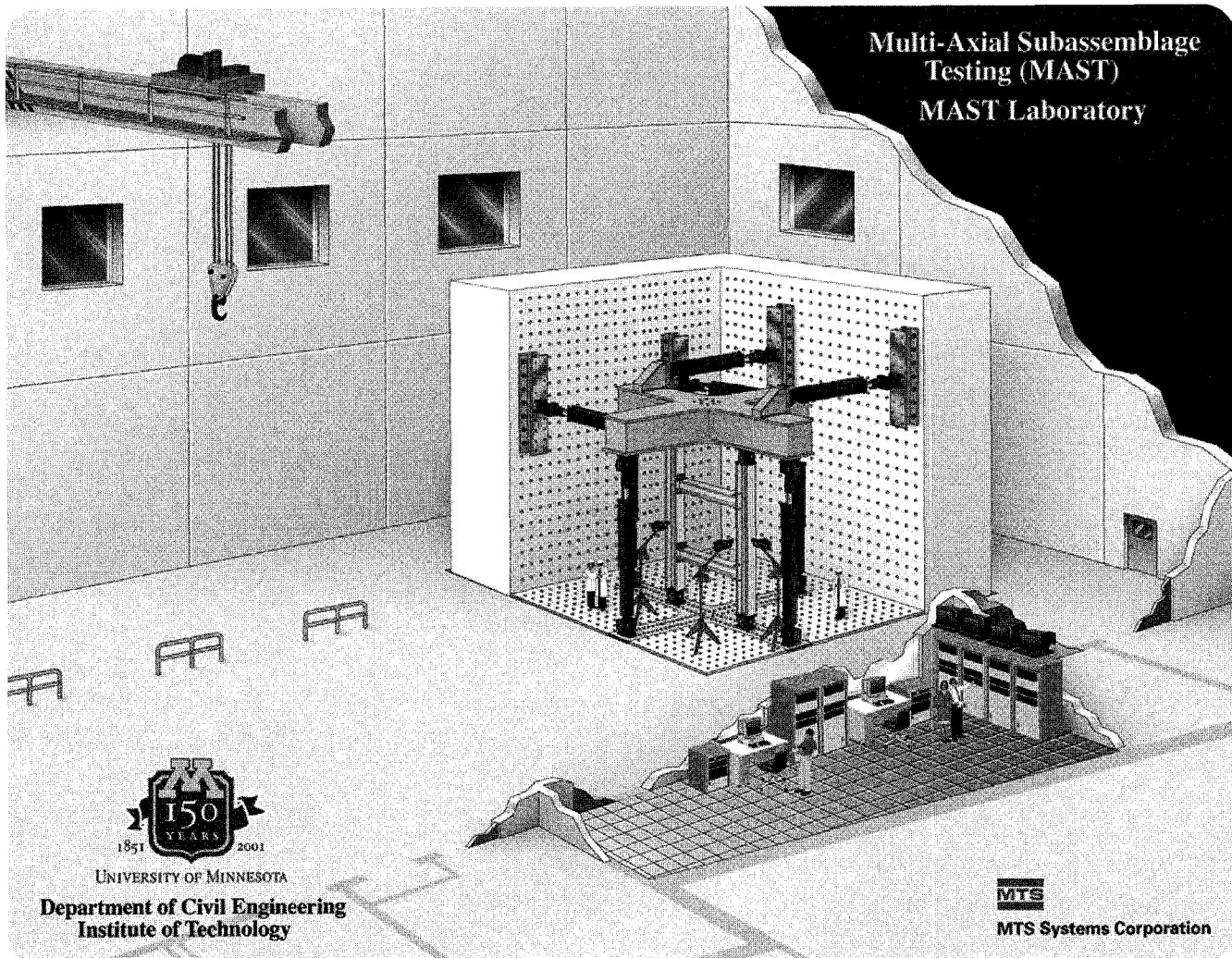
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Research

Review



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Oversight Analysis and Reporting



UNIVERSITY OF MINNESOTA
Department of Civil Engineering
Institute of Technology

MTS
MTS Systems Corporation

**Quarterly publication of
the Office of the Vice
President for
Research**

Inside

An NSF grant will allow University of Minnesota researchers to build a new facility for large scale structural testing.

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Research Review

Volume XXX, Number 13
Fourth Quarter
2001

Writing credits are available upon request. Write to *Research Review* at 450 McNamara Alumni Center, 200 Oak Street SE, Minneapolis, MN 55455-2070, or call Brian Lieb, 612.624.8205, lieb002@umn.edu.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape.

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Front cover: Computer image of the Multi-Axial Subassemblage Testing facility. Image provided by the Department of Civil Engineering, Institute of Technology, University of Minnesota.

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Changes to this Publication

Research Review is being phased out in favor of the online publication *Research News Online*, a twice monthly email publication informing its readership about grant policy, procedures, funding opportunities and other topics of interest to the University of Minnesota research community. (To subscribe to *Research News Online*, please email spanews@umn.edu) The print publication *Research Review* will appear several more times in the upcoming year, with a focus on significant research projects at the University. Readers looking for information such as the SPA directory or fringe benefit rates should look on page 11 of this publication for Web links.

McKnight Land-Grant Professors

The University of Minnesota named 14 faculty members as McKnight Land-Grant Professors for 2001-2003. The recipients will hold the title McKnight Land-Grant Professor for two years and will receive a \$25,000 research grant in each of those years.

The professorships are given to strengthen the University faculty and to recognize and reward promising junior faculty. Nominations came from a committee of faculty from across the University. Selection criteria included the potential for significant contributions to the discipline; the degree to which past achievements and current ideas demonstrate originality, imagination and innovation; and the potential for attracting outstanding students.

The recipients, their academic departments, and fields of interest follow:

Mohamed-Slim Alouini, electrical and computer engineering. Analysis of wireless communication transmission techniques.

Bruce Braun, geography. The theoretical relationship of nature, society and modernity in Canada, 1945-1970.

Patricia Crain, english. The history of literacy as a concept and symbol.

Shaul Hanany, physics and astronomy. Understanding the origin and evolution of the universe through measurements of cosmic microwave background radiation.

George Heimpel, entomology. Working to integrate principles of insect ecology with biologically-based pest management. "Research in our lab focuses on how an understanding of the reproductive strategies of natural enemies of pest insects can be used to improve the predictability and success of biological control. The main subjects



Professor Heimpel

of most projects are parasitic wasps, but predators and pathogens are represented as well. Pests that we have targeted with this approach include the European corn borer, alfalfa blotch leafminer, soybean aphid, codling moth, and various lepidopteran pests attacking cabbage."

Richard Hsung, chemistry. Synthesis of the naturally occurring substance arisugacin.

Victoria Interrante, computer science and engineering. The science behind the art of communicating information through images.

Canan Karatekin, child development. The nature and development of normal cognitive processes and how they go awry in mental disorders.

Monica Luciana, psychology. Human brain-behavior relationships.

Gary Muehlbauer, agronomy and plant genetics. Understanding the molecular mechanisms governing interactions between fungi and plants.

Claudia Schmidt-Dannert, biochemistry, molecular biology and biophysics. Combining metabolic engineering and molecular evolution techniques to create biosynthetic pathways.

Yoav Segal, medicine. Genetic diseases of the kidneys. "My primary research interests are in genetic kidney diseases. Among these conditions, Alport syndrome is the most common involving renal glomeruli, the basic filtering units of the kidney. Affecting an estimated 1 in 5,000 individuals, Alport syndrome is characterized by findings of blood and protein in the urine during childhood, and progressive kidney failure later in life, often with associated deafness. Despite description of over 300 disease-causing genetic mutations, the mechanisms of kidney failure in Alport syndrome are poorly understood.



Professor Segal

Insight into these mechanisms, as a basis for understanding kidney function under normal conditions, is essential to identifying promising avenues for therapy. In my laboratory, we are investigating the fundamental physiological consequences of genetic mutations in Alport syndrome, using novel animal models of the disease."

Jiaping Wang, mathematics. Geometric analysis and partial differential equations.

Barbara Welke, history. Product liability and the rights revolution in 20th-century America.

Department of Civil Engineering Awarded \$6.47 Million NSF Equipment Grant for Structural Engineering

The Department of Civil Engineering at the University of Minnesota has been awarded a \$6.47 million grant for large-scale structural testing equipment as part of the National Science Foundation's George E. Brown, Jr. Network for Earthquake Engineering Simulation (NEES). This grant, which will greatly enhance the department's structural testing capabilities, represents the single largest equipment award made through the NSF NEES program, and will be used to purchase equipment for the University of Minnesota Multi-Axial Subassemblage Testing (MAST) facility (a schematic view is shown on the front cover). With the NEES program, NSF is leading the effort to restructure the way engineering research is done in this country.

Within the MAST facility, researchers will be able to conduct multi-axial cyclic static tests of large-scale structural subassemblages including portions of beam-column frame systems, walls, tanks and bridge piers using six degree-of-freedom control technology. The MAST system advances the current state of technology through imposing multiple-degree-of-freedom states of deformation and load. The four vertical actuators will provide a combined 1.3 million pounds of vertical loading capacity. The longitudinal and lateral (transverse) actuator pairs anchored to an L-shaped reaction wall will provide up to 880,000 pounds of loading in the orthogonal horizontal directions, and four ancillary actuators will be used to apply lateral loads at intermediate story levels, gravity loads, or simulated specimen boundary conditions.

Innovative elements of this facility include the large load magnitudes, the multi-dimensional testing capabilities of the facility, and the integration of experimental testing with model-based computational simulation. Eight video cameras and eight still cameras on robotic arms will create a visual and audio record of the experiment.



The sensor, visual, and audio data will be interfaced with a web-based graphical visualization and control system that will allow researchers both at the facility and at remote locations to be actively involved in the experiments and computational simulation projects at the MAST facility. The system is unique in size and scope and will greatly expand the large-scale structural testing capabilities both nationally and internationally.

University faculty who are co-investigators on the MAST project include Catherine W. French, Arturo E. Schultz, Jerome F. Hajjar, Carol K. Shield, and Robert J. Dexter, from the Department of Civil Engineering (CE), Douglas W. Ernie from the Department of Electrical and Computer Engineering (ECE), and David H.-C. Du from the Department of Computer Science and Engineering (CSE). The CE faculty have a long history of conducting internationally renowned research in large-scale testing and computational simulation of building and bridge structures. Investigators from ECE and CSE, working together with the CE faculty, bring expertise in telepresence and networking that will lead to a state-of-the-art national facility for engineering research.

According to Professor French, "one of the reasons that the University of Minnesota was chosen to be an integral part of the NEES program is because of the expertise and reputation of the faculty. A key feature of our proposal was the strong interdisciplinary links among the Department of Civil Engineering, the Department of Electrical and Computer Engineering, and the Department of Computer Science and Engineering. The objectives of the NEES program coincide with a number of the University of Minnesota's digital technology initiatives."

"One of the reasons that the University of Minnesota was chosen to be an integral part of the NEES program is because of the expertise and reputation of the faculty."

Catherine French

The NEES initiative, which is part of NSF's Major Research Equipment Program (MRE), represents a bold effort on the part of NSF to restructure engineering research in the United States in

order to take advantage of new technologies, collaborative initiatives on the part of participating research institutions, and new models for sharing research facilities, data, and equipment. According to NSF, NEES will “shift the emphasis of earthquake engineering research from current reliance on physical testing to integrated experimentation, computation, theory, databases, and model-based simulation.” This ambitious initiative is being aggressively supported by the federal government. On October 1, 1999, Congress committed \$82 million over the next five years for the NEES program to develop the networked system of equipment. The NEES initiative is unique in the history of the MRE program for several reasons. It is the first to fund an engineering program. It is also the first to develop not a single facility, but a network of facilities across the country maximizing the use of the Internet to further information sharing and cross-facility research. The program includes the development of a single national repository for structural engineering experimental and computational data and the integration of model-based computational simulation with experimental testing to provide a comprehensive assessment of the performance of structures.

Within the NEES program, 11 sites have been awarded funding nationally in five different categories. They include four large-scale structural facilities, two shake tables, two geotechnical centrifuges, one tsunami, and two field equipment sites. The University of Minnesota MAST system was chosen as one of the four large-scale structural testing facilities. The equipment will be housed in a new structural engineering laboratory planned for construction on the University of Minnesota’s Minneapolis campus. Researchers from across the country and around the world will visit the University to conduct research both independently and in conjunction with University faculty and graduate students. The equipment will also provide a tremendous resource for local industry in the structural engineering and transportation communities through contract testing and research. With recent building code changes such as those implemented in the International Building Code (IBC 2000) broadening the requirements for seismic considerations across the nation, this facility will also help to increase the Minnesota engineering community’s ability to respond to the increased demand for earthquake engineering expertise.

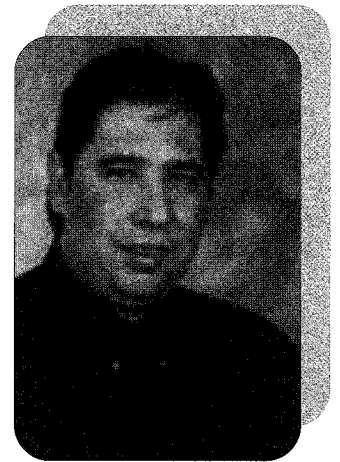
Manuel Barrera Works to Help Students with Limited English Proficiency

In the summer of 2000, Manuel T. Barrera of the University of Minnesota Duluth received a national “Initial Career Award” of \$198,000 sponsored by the U.S. Department of Education Office of Special Education Programs. The project, now called the Curriculum-based Dynamic Assessment project (CDAP), is also supported by seed monies (\$12,000) through President Yudof’s Multicultural Award (2000-2002). The project addresses ways to improve current educational assessment practices to prevent inappropriate referral and placement of students in special education who are learning English as a new or second language. The three-year study focuses on:

- ◆ Identifying current learning tasks that Mexican-American parents, students, and their teachers believe are important for educational success of high school students learning English as a new or second language;

- ◆ Use of the data gathered from these parents, students, and teachers to develop an assessment process combining the research-validated curriculum-based measurement of Dr. Stanley Deno (UM Twin Cities) and the promising practice of dynamic assessment;

- ◆ Validating this combined assessment process through practitioner evaluation of learner work samples produced during the assessment phase of the study and analysis of standardized academic achievement and language assessment data simultaneously collected on students during the intervention phase of the study.



Professor Barrera

Differentiating among learners of English with and without learning disabilities is critical for two reasons. First, special education law requires this distinction through the Individuals with Disabilities Education Act reauthorized in 1997. However, to assess for learning disabilities the learner must exhibit learning problems *not* explained by environmental variables such as limited English proficiency, cultural differences, or socio-economic status. Second, despite legal mandates, misidentification of these students continues to plague school programs nationally and in the state of Minnesota.

Continued on next page

Despite the identified importance of reducing bias in assessment practices for special education identification, there has been little research in identifying specific procedures to help teachers and other assessment practitioners conduct assessments that are more appropriate with new learners of English. The project has been designed to study assessment processes for use in public schools in Minnesota and in southern Texas; the originating point of migration for many current and former Mexican-American migrants who attend schools in Minnesota.

Eight research sites for this project are currently established in St. Paul, Willmar, St. Croix, and Brownsville (Texas) schools. By the end of three years, over 300 students, teachers, and school specialists will have participated directly in the study. Dr. Barrera's work has also received mentoring support from Dr. Alba Ortiz and Dr. Cheryl Wilkinson of the University of Texas at Austin as well as from UM faculty members Dr. Stan Deno and Dr. Chris Espin (Twin Cities).

For the PTM Quarterly Reports, go to Patents and Technology Marketing's web site at

<http://www.ptm.umn.edu>

and look for *Quarterly Reports* under the PTM News section.

UM Morris Receives Diversity Grant

The University of Minnesota Morris (UMM) Minority Student Program (MSP) received a three-year grant totaling \$141,000 from the Otto Bremer Foundation to establish a Diversity Community Outreach Program. The program will create new opportunities and resources for both the UMM and larger Morris communities, while strengthening and building on current initiatives. Program components will include the Ambassadors for Cultural Exchange (ACE), the Minority Alumni Mentorship Program, a Diversity Community Outreach University - Community Liaison, and an Outreach to Campus Program.

Ambassadors for Cultural Exchange (ACE) takes UMM students of color into area schools to read stories and lead activities with third grade students. The stories and activities reflect the culture of the reader. ACE was developed and piloted by alumnus Ron Morris in 1998 to 1999, while he was a student. ACE was hugely successful as a pilot program. Area teachers and community leaders have requested that the program be revived and formally implemented.

The Minority Alumni Mentorship Program currently links students of color with successful UMM minority alumni. When a student's career interest falls outside the experience of available alumni mentors, local community mentors are identified. Through these critical links, alumni and community mentors assist students in navigating through UMM and in achieving their career goals. This program was initiated in 1996 through a grant partnership with American Express Minnesota Philanthropic Program. As American Express funding ends in 2002, Bremer funding will provide program continuity.

The Diversity Community Outreach University - Community Liaison will expand MSP's ability to respond to requests for diversity training from community agencies. Areas of skill development may include cultural awareness, conflict resolution and mediation, cross-cultural communication, and

leadership in multicultural organizations. The coordinator will also work to increase the capacity to respond to campus and community events that involve intercultural communication and understanding.

The Outreach to Campus Program will bring additional diversity training, resources, and support to student leaders and campus programs. The program will be available to assist in training for students from Resident Advisors and Orientation Group Leaders to TAs. The coordinator will also lend additional support to programs begun through UMM's Campus of Difference Initiative- the Diversity Peer Educators and Multicultural Student Leadership Retreat.

The grant, which is the largest grant UMM has ever received from the Otto Bremer Foundation, allows MSP to hire a full time coordinator to develop and implement the outreach program initiatives. The coordinator will be someone who has or will receive extensive cultural awareness, prejudice reduction, conflict resolution, and cross-cultural communication training. The coordinator will then be able to provide specifically tailored training in coordination with local schools, businesses, organizations, and campus groups when called upon to do so. The coordinator will build on current UMM and MSP multicultural initiatives and create new programs that will enhance MSP, the University and the Morris community by presenting a better-targeted Community-University effort. Over the past several months, this proposal was developed in consultation with and endorsed by community leaders in city government, area schools, and the Morris Human Rights Commission. The Minority Student Program is excited about the possibilities of this program and believes that it ties in nicely to UMM's mission of "teaching, research, and outreach" and to being "an educational resource and cultural center for citizens of west central Minnesota."

LIBRARIES DIGITIZING IMAGES FROM WORLD WARS

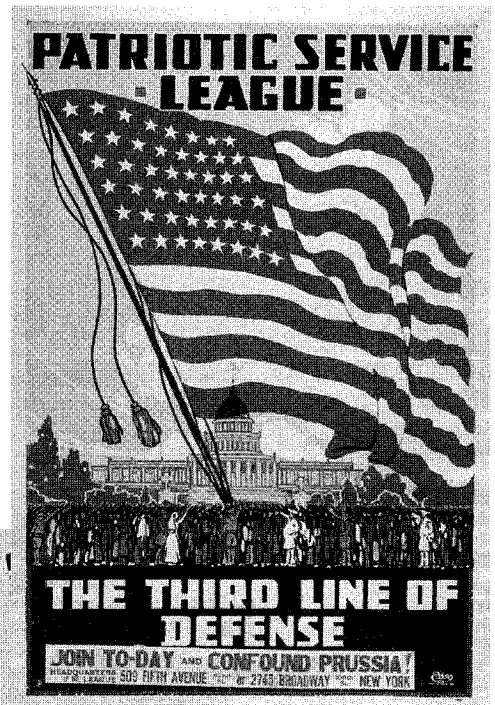
The Institute of Museum and Library Services (IMLS) recently awarded a National Leadership Grant of \$275,077 to the University of Minnesota Libraries to fund the digitization of 6,000 posters from World Wars I and II. As part of this grant, which is under the IMLS Preservation and Digitization program, University of Minnesota Libraries will work with the Minneapolis Public Library to build an online database containing digital images of all the war posters owned by both institutions.

These collections are multinational in scope and cover veterans' benefits, war bonds and loans, military recruitment, civil defense, international welfare organizations, labor organizations, recruiting of women in military and noncombatant organizations, anti-war movements and other topics. Artists such as James Montgomery Flagg, James H. Daugherty, Ben Shahn, Gil Spear and Otto Fischer are represented in the collections. Together, these two digital collections will constitute one of the largest databases of war posters in the world.

A novel aspect of this grant-funded project will be the collaborative sharing of digital content. Nationally, much work is being devoted to systems that permit digital content owners to share information—metadata—about their electronic collections. As part of this effort, University Libraries is constructing a system that permits users to discover digital content created not just by the libraries, but by all departments across campus. This system, IMAGES (Image Metadata Aggregation for Enhanced Searching) consists of a database, descriptive standards and a suite of tools that help campus users maximize access to distributed digital collections. Participants in IMAGES retain full control of their digital collections, but also exploit the benefits of metadata sharing.

The IMAGES database now contains thousands of images created of unique materials owned by University Libraries. Among them is the University Archives image database, available at <http://www.special.lib.umn.edu/uarch/IMAGES>, which contains approximately 1,200 images of people, buildings, and events from throughout the University's history. It will continue to grow as more images from the vast University Archives holdings are digitized. The War Posters project will integrate with the IMAGES infrastructure and with national metadata harvesters to significantly extend the online user's ability to discover relevant electronic content.

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For more information and to view the war posters or other digital collections, visit the University Libraries' Digital Collections web site at

<http://digital.lib.umn.edu/>





Pam Holsinger-Fuchs, discusses UMC's Service Learning Program with Rob Jacobson, President of Bremer Bank of Crookston.

Professors Giannakis and Schmidt receive U.S. Army Collaborative Technology Alliances Grants

UM Crookston Receives Grant to Support Service Learning

The University of Minnesota, Crookston (UMC) has been awarded a grant from the Otto Bremer Foundation that will provide a total of \$100,000 over the next four years. The grant will be used to support UMC's Service Learning Program, which involves students and faculty in course-related community service projects.

According to Pam Holsinger-Fuchs, director of student activities and service learning at UMC, the money will be used to set up a volunteer clearinghouse that will benefit the entire community and to fund staff positions for the program. "We're very thankful to the Bremer Foundation and very excited to show how this grant will help build on our existing service learning initiatives," she says.

The Otto Bremer Foundation has a commitment to the countryside and a focus on serving regional and local communities. This focus reflects the asset structure of the Foundation that is the principal owner of Bremer Financial Corporation, a regional bank holding company with bank, insurance, and trust companies serving over 70 predominantly rural communities in Minnesota, North Dakota, and Wisconsin.

For UMC, a focus on civic responsibility and service learning is nothing new. The campus made a strong commitment to the concept in 1996, with the hiring of Holsinger-Fuchs as director of student activities and service learning. In addition to the traditional responsibilities of working with students to provide educational and entertainment programming, she was charged with involving students and faculty in various service learning projects in the community.

This past fall semester the program again played a role in new student orientation, when new students and UMC faculty and staff joined together for a day of service projects throughout the city. "The idea is to show new students that there is a commitment from day one at UMC to be civically engaged," says Holsinger-Fuchs.

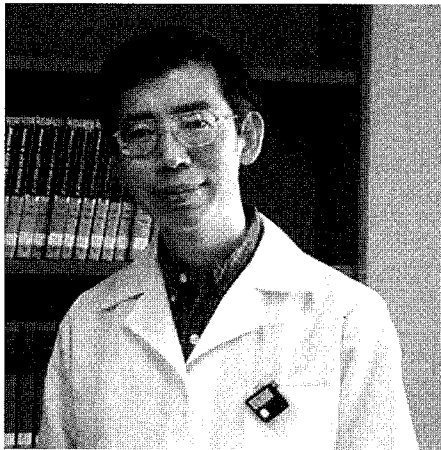
A distinction between service learning and community service is important. Holsinger-Fuchs wants to break the preconceived notion that service learning is little more than having UMC students pick up roadside trash or perform similar community service activities, although UMC students do take part in those types of activities, too. "The goal of service learning," she states, "is to connect UMC students to the larger community by involving them in activities that are directly tied to their majors or their courses. It's a way for students to gain real experience by taking concepts and theories they learn in class and applying them to volunteer projects that really help the community."

From humble beginnings and a handful of community projects in the fall of 1996, UMC's Service Learning Program has grown to over 50 projects involving more than 500 UMC students—and that's just for spring semester, 2001. The program even received recognition from Governor Jesse Ventura in 1999, when UMC's service learning initiative was honored as a "Star Program" at the Minnesota Services Recognition Day.

Two University of Minnesota researchers recently received grants from the U.S. Army's Collaborative Technology Alliances. Professor Georgios Giannakis of the Department of Electrical and Computer Engineering will do research as part of a \$61,199,537, eight year cooperative agreement. Professor Lanny Schmidt of the Department of Chemical Engineering and Materials Science will work with the Power and Energy Consortium on an eight year, \$49,000,000 award. The Consortium, headed by Honeywell International Inc., consists of six industries and 16 universities, including the University of Minnesota.

The objectives of the Consortium will advance the fundamental sciences and understanding of efficient compact power and propulsion technologies needed to develop affordable state-of-the-art systems required by soldiers of the future Army Objective Force (AOF). The Consortium is focused on increasing the power density of compact soldier portable power systems by 5-10 times over current level of 200 W-hr/kg (small power), and of vehicle propulsion systems (big power) by 3-5 times over current diesel engines, while reducing usage of fossil fuel by 75%. Dr. Schmidt will work to help make a technology leap in the areas of Proton Exchange Membrane Fuel Cells and Solid Oxide Fuel Cells, leading to high performance, highly efficient, lightweight, compact power sources.

Can Drinking Tea Help Prevent Cancer?



Professor Zigang Dong

Dr. Zigang Dong, Professor and Executive Director of the University of Minnesota's Hormel Institute, in Austin, Minnesota, has been awarded a five year \$1.5 million grant from the National Cancer Institute to study the effectiveness of tea in preventing cancer. This award is a component of a Program Project Grant totaling \$6 million, which is a collaborative effort between Dr. Dong and five other scientists at Rutgers University in New Brunswick, New Jersey. Dr. Dong and his colleagues study the mechanisms underlying the observed anticancer effects of specific food factors, including tea.

Even though the overall incidence and deaths from breast, lung, prostate and colorectal cancers have slowly decreased in the last five years, death rates from many other types of cancers including melanomas and lymphomas and kidney, liver and esophagus are still increasing. Major problems that are associated with cancer prevention and treatment include the extreme toxicity of drugs used in chemotherapy. Many times, patients die as a result of the side effects associated with the treatment. The use of natural food compounds in preventing and treating cancer has gained considerable acceptance as an alternative approach to the control of cancer

because these types of compounds have little or no toxicity. A major goal of Dr. Dong and his research group is to identify nontoxic anticancer agents, and thus, in collaboration with colleagues throughout the U.S. and the world, they are testing the anticancer effect of hundreds of food factors. Evidence from epidemiological and experimental studies, including data from Dr. Dong's group, indicates that compounds derived from tea have a strong inhibitory effect on cancer development with few side effects. The new research grant will further support work on the mechanisms by which tea prevents cancer. Understanding the mechanisms of the anticancer effects of tea will help in the development of more effective agents for the prevention and treatment of cancer.

In addition to this research grant, Dr. Dong has current research funding totaling \$2.6 million from the National Institutes of Health and the American Institute for Cancer Research. These funds also support experimental studies on the development and testing of cancer preventive agents. Recently, Dr. Dong has also received research funding from the University of Minnesota for pilot studies and equipment needed for investigating the mechanisms of cancer development. In addition to the federal and state government support, Dr. Dong's work has also benefited significantly from funding obtained from local donors including the Hormel Foundation and the Eagles Cancer Telethon.

Weisman Museum Receives NEH Grant

The Weisman Museum on the Twin Cities campus recently received a grant of \$250,000 from the National Endowment for the Humanities (NEH) to fund the exhibition *On the Edge of Your Seat: Popular Theatre and Film in Early 20th Century American Art*, opening in April 2002. The award was the largest NEH grant in Minnesota this year. The project includes a nationally touring interpretive exhibition of approximately 150 artworks and historical artifacts, a 240 page illustrated catalogue co-published with Yale University Press, K-12 curriculum materials, and a full array of public programs and performances. The exhibit will travel to the Montclair Art Museum in New Jersey and to the Pennsylvania Academy of Fine Arts in Philadelphia.

On the Edge of Your Seat is the first major exhibition and publication devoted to the art inspired by the visual culture of American popular entertainment from 1890 to 1930. It is a multimedia exhibition that examines the relationship of the fine arts with vaudeville and theater, and especially the new form of entertainment – the movies – in the early decades of the 20th century. Charles Demuth, Edward Hopper, Walt Kuhn, Everett Shinn, John Sloan, and

Max Weber are among the many artists included. This exhibition is the brainchild of the museum's curator, Patricia McDonnell, who wrote the successful grant proposal. Scholars from the University of Minnesota and all across the country have been involved

in the planning of this project and will contribute to the catalog.



Weisman Museum

The University's Electronic Research Administration (eRA) Initiative

New University initiative in eRA

As part of its commitment to the continued development of electronic research administration, the University has created an office of Electronic Research Administration (eRA). This office, housed in the Office of the Vice President for Research, is headed by David Hamilton, Assistant Vice President for Research, who has primary responsibilities for electronic research administration and responsible conduct of research education. Hamilton, a professor in the Department of Genetics, Cell Biology, and Development and formerly the Grants Management project director, will focus his office's efforts on the enhancement and integration of the electronic research tools already in place (see below), as well as the development of new tools to support the University research community. The goal of the eRA office is to completely integrate these online tools into a single system for electronic research administration; this integration will include creation of a single point of entry to the electronic tools, information, and resources that support research administration. Hamilton's office will develop an eRA Web site as a resource for faculty and staff and use an online newsletter to announce news related to the development of the University's electronic research activities.

EGMS is the centerpiece of electronic research tools

For several years, the University has been on the leading edge of a growing national movement committed to eRA and now has six Internet-based tools in place to facilitate effective research administration:

- ◆ **Electronic Grants Management System** (EGMS; <http://nirvana.ospa.umn.edu>), which encompasses:
 - **Grant proposal form preparation:** faculty and staff use EGMS to prepare grant proposals and the University's Proposal Routing Form (PRF, formerly known as the BA23). EGMS allows multiple individuals to work on an electronic proposal as a work group, stores proposal data for reuse, calculates budget costs across project years, and checks proposal data against both sponsor and University rules.
 - **Sponsored project proposal and award management:** Sponsored Projects Administration (SPA) staff use a separate EGMS database to gather data from EGMS proposals and PRFs. These data create a project record as the first step in the award process and serve to streamline award setup. The award management function of EGMS (currently under development) will allow SPA to manage awards from setup through closeout. A Web interface to this database will, when built, provide faculty and staff a method of tracking an award's status.
 - **External professional activities reporting:** faculty and professional and academic (P & A) staff use EGMS to prepare both requests for approval of proposed external professional activities (Request for Consultant or Outside Service Agreement, or ROC) and summary reports of external professional activities (A Report of External Professional Activities, or AREPA). These forms are both prepared and approved using EGMS.
 - **Potential conflict of interest oversight:** University compliance officers (the Conflict Review Committees, for example) use EGMS reports to monitor compliance with requirements for all faculty and P & A staff to file AREPA forms and to identify individuals whose reported external professional activities may represent a conflict of interest.
- ◆ **Financial reports** (available from the SPA Home Page; <http://www.ospa.umn.edu>; password protected, or <http://financial.reports.umn.edu>; password protected): principal investigators (PIs) use personal PI reports and accountants use oversight reports to track expenditures on sponsored projects. Financial reports provide detailed, up-to-date information on each of a PI's individual research projects. These reports are the official University record of sponsored account balances.

◆ **Financial FormsNirvana** (FFN, <http://nirvana.fss.umn.edu>): faculty and staff use FFN to prepare and approve financial transactions. FFN's electronic process moves documents to the financial system faster than paper, making the financial reports more accurate and timely. FFN provides an additional level of electronic oversight for expenditures on sponsored accounts (for example, for federally sponsored accounts, FFN flags potential violations of OMB Circular A-21).

◆ **Education in the Responsible Conduct of Research Web site** (RCR; <http://nirvana.ospa.umn.edu/rcr>): faculty and principal investigators use the RCR site to register for required RCR educational courses or workshops. The Office of the Vice President of Research also uses the RCR site as a single administrative site for oversight of research education and training programs. The RCR site stores all records related to RCR training and can be queried to check the training history of a single individual or to create more comprehensive compliance reports on research training (listing all attendees or registrants for a single college or department, for example).

◆ **Research Subjects Protection Programs Web site** (RSPP; <http://www.research.umn.edu/subjects/index.html>): faculty and staff use the public module of the RSPP site to access a variety of Institutional Review Board (IRB) and Institutional Animal Care and Use Committee (IACUC) resources. These resources include downloadable application forms, the University's guides for protection of human and animal subjects, training and certification information, and lists of meeting dates, deadlines, and results. Through a restricted access module of the RSPP site, staff in the Research Subjects Protection Programs manage their study review process and track proposed and ongoing research studies involving human or animal subjects.

◆ **Institutional Biosafety Committee Web site** (IBC; <http://www.ibc.umn.edu>): faculty and staff use the IBC site to access information on the review and approval process for the use of research materials with environmental health and safety issues (potentially infectious agents, recombinant DNA, and biological toxins, for example). The application forms for requesting IBC review of the use of such research materials can be downloaded from the IBC site.

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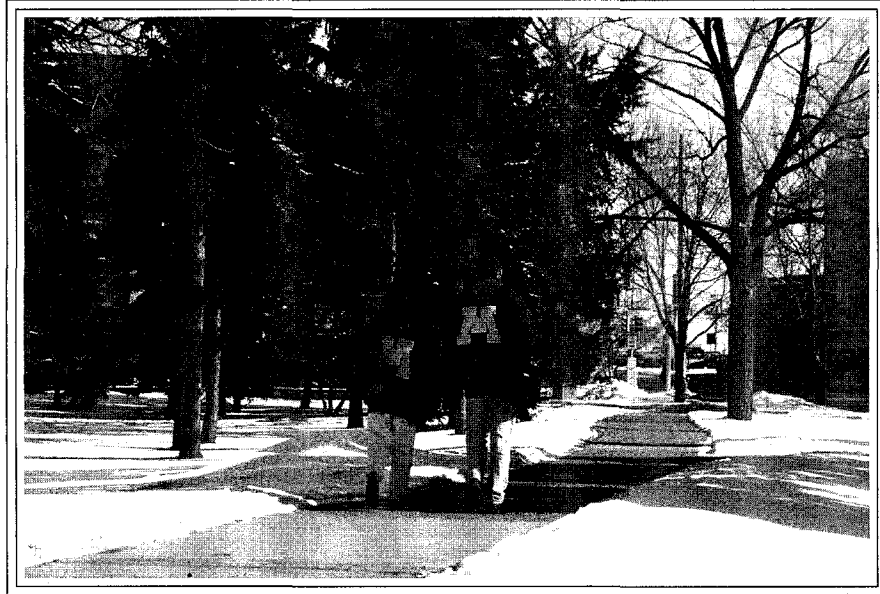
**[http://budoff.umn.
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Professor Robert Blanchette in the
jungles of Vietnam

Publication of the Office of the Vice President for Research

UNIVERSITY OF MINNESOTA Research Review

Volume XXXI, Number 2

Summer
2002

The *Research Review* focuses on significant research projects at the University of Minnesota. To find information on grant policy, procedures, funding opportunities, and other topics of interest to the University research community, read the *Research News Online*, available at <http://www.ospa.umn.edu/researchrefmat&pubs/RNO/index.htm>.

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Research Review is available electronically at <http://www.ospa.umn.edu>. It is also available on request to those who need it in other formats, such as Braille or audiotape. Writing and photo credits are available upon request to the editor.

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2002-04 Distinguished McKnight University Professors

Faculty Awards

The Graduate School has announced the recipients of the year 2002 Distinguished McKnight University Professorship. Recipients are honored with the title Distinguished McKnight University Professor, which they will hold for as long as they remain at the University of Minnesota. There is a five year, \$100,000 grant associated with the Professorship.

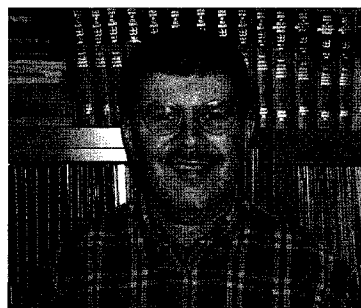
The winners were chosen on the merit of their scholarly achievements and the potential for greater attainment in the field; the extent to which their achievements have brought distinction to the University of Minnesota; the quality of their teaching and advising; and their contributions to the wider community.

Efi Foufoula-Georgiou, Department of Civil Engineering Professor Foufoula-Georgiou, currently director of the St. Anthony Falls Laboratory, is internationally renowned for her work in hydrologic science. She has made original and important contributions in the areas of space-time rainfall modeling, hydro-geomorphology, and scaling in hydrologic processes. She has been elected as a Fellow of the American Geophysical Union and named the European Geophysical Society's 2002 John Dalton Medal recipient. She has been editor of the *Journal of Hydrometeorology* and associate editor for *Water Resources Research*, *Hydrology and Earth System Sciences* and the *Journal of Geophysical Research*.



Efi Foufoula-Georgiou

Marc Jenkins, Department of Microbiology Professor Jenkins is an internationally acclaimed leader in immunology. He has laid the foundations for a major aspect of immunology critical to advances in transplantation, immunotherapy, and vaccine development. His pioneering work on innovative experimental approaches to understanding how the immune response really works in vivo resulted in a landmark paper in *Immunity* in 1994. His 90 research papers have been cited more than 7,000 times. He received the Pew Scholars in the Biomedical Sciences Award, and has been selected as the recipient of the 2002 American Association of Immunologists-Huang Foundation Meritorious Career Award.



Marc Jenkins

Eric Newman, Department of Neuroscience

Professor Newman is internationally recognized as one of the world's most influential researchers studying the retina and neuroglial cells. For years, scientists believed that glial cells played only a minor, supporting

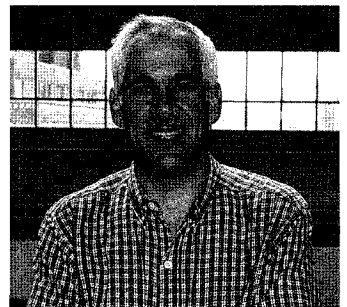


Eric Newman

role in brain function. Newman's work has revolutionized thinking about the functions of glial cells in the brain and how they interact with nerve cells. His research demonstrates that glial cells can modify nerve cell behavior and suggests that glial cells may participate in information processing in the brain. Many of his groundbreaking research papers have been published in the prestigious international journals *Science* and *Nature*.

Robert Tranquillo, Department of Biomedical Engineering Professor Tranquillo's accomplishments blend exacting experimentation with rigorous mathematical modeling. He is a leader in the area of theoretical biology, using modeling to understand such processes as directed cell migration and cell-matrix mechanical interactions. He has a vibrant experimental research program that focuses on tissue engineering with cardiovascular and neural applications.

He publishes in a wide range of journals in the fields of biological and biomedical sciences, engineering, and applied mathematics. Professor Tranquillo is a Fellow of the American Institute of Medical and Biological Engineering and is head of the University's new Department of Biomedical Engineering.



Robert Tranquillo

Making Connections

UMM's Center for Small Towns works with rural communities in their struggle for survival and vitality



CST staff - Heather Aagesen-Huebner, David Fluegel, Roger McCannon, Ben Winchester, Barb Hesse



Intern Anne Borgendale



Service learning training - Megan McGinnity, Char Zinda, and Brad McBeath

The mission of the Center for Small Towns at the University of Minnesota, Morris is to focus the University's attention and marshal its resources toward assisting Minnesota's small towns with locally identified issues. Recently, one of these local issues centered on the Big Stone Lake Area in west central Minnesota. Formed by glaciers 20,000 years ago, covering 12,610 acres and separating parts of Minnesota and South Dakota, the lake is the source of the Minnesota River and home to a state park. The shores of the lake are also home to approximately 1000 cabins, and the people who own those cabins shop in nearby Ortonville, Minnesota. Unfortunately, there has been no central docking location to help the cabin owners and Ortonville connect. To strengthen the sense of community and the livability of Ortonville, the Center for Small Towns, along with the University's Center for Rural Design and other regional institutions and agencies, is assisting area residents in the creation of a convenient, safe harbor. The project will help to increase economic activity in the county, augment recreation and tourism amenities on the lake, and provide learning opportunities and entertainment for area youth. It is because of work like this that the Center has recently received a grant from the Blandin Foundation.

The Center's Work

The Blandin grant will allow the Center for Small Towns to strengthen their approach to community service with educational initiatives that focus on supporting strategic and sustainable development at the local level. It will also help the Center to measure

outcomes for communities and impacts on the campus by more systematically evaluating and documenting efforts. Furthermore, the grant will allow the Center to strengthen all of its programming and activities over the next two years. The Center has expertise in creating opportunities for faculty and students to become more directly involved in rural communities through internships and service-learning activities, in data analysis and research, and in brokering of University of Minnesota resources by serving as a point-of-entry for local community leaders.

"The grant from the Blandin Foundation seeks to further the individual missions of the Blandin Foundation, the University of Minnesota, Morris, and communities that participate in the program," says **Roger McCannon**, director of the Center. "This program will open new pathways to success for rural communities. It will bring to bear the strengths of the University — its students, faculty, and programs — while at the same time providing them with active learning venues. Through this joint effort, the shared vision and collective mission of strengthening rural Minnesota communities will be enhanced."

Prairie Renaissance Connection

To understand the potential impact of the Blandin Foundation grant, one need only look back to similar grants in 1999 and 2000. In 1999 the Blandin Foundation awarded a grant to the Center to help create the *Prairie Renaissance*, a community development project built on a foundation of networking local and regional agencies, citizens, and institutions for the purpose of collaborative problem solving of community issues. Then, in 2000, the *Prairie Renaissance* received its own grant from the

Blandin Foundation to carry out its work. That work starts with the requirement that communities have a strong base of leaders who can recruit a diverse, multigenerational group of individuals and major stakeholders committed to a process of identifying and taking action on significant community issues.

Over 150 Morris, Minnesota community members participated in a community visioning and assessment process to begin the Prairie Renaissance. These people represented a diverse section of the Morris area, including: senior citizens, members of the business sector, college students, young adults who are not attending college, high school students, farmers, business owners, health care providers, single parents, people of moderate to low income, individuals with disabilities, people of various religious affiliations, people of various ethnicity, international community residents, and members of the gay and lesbian community.

This group identified three priority-for-action areas:

- Increasing opportunities for young people that maximize health and well-being and promote leadership skills. Included in this are an internship program, leadership training, and a publicity program to educate the public on the training of young people
- Creating economic security and job opportunities while maintaining a balance between growth and environmental protection
- Improving recreational and multicultural opportunities that are intergenerational

The Center for Small Towns serves as a facilitator between the Prairie Renaissance, the Morris Area Public Schools, and the University of Minnesota, Morris. The Center also provides student interns to work on projects as identified by the Prairie Renaissance, including the development of a central community Web page. During the project, over 150 UMM students and 600 K12 students will be involved with service-learning activities.

The heart of the Prairie Renaissance, and of the Center for Small Towns, is connection. The Center connects agencies, citizens, and institutions like the University of Minnesota in order to pool resources and to find new ways for small communities to successfully transition through this period of rapid change. And by connecting these resources, the Center for Small Towns is making rural Minnesota stronger.

“This program will open new pathways to success for rural communities.”

Roger McCannon

Serengeti Viruses

As human populations expand, so do populations of pets and other domestic animals, some of which harbor viruses that can spread to nearby wildlife. Little is known about how such viruses circulate between species, which makes it hard to design efficient prevention strategies in developing countries that lack any veterinary care for companion animals.

Now, armed with a five-year, \$1.48 million grant from the National Institutes of Health and the National Science Foundation, College of Biological Sciences professor **Craig Packer** is set to study movements of three viruses between domestic dogs and the lions and other large mammals of Tanzania's Serengeti National Park. The study will lay groundwork for mass vaccination programs in developing countries to prevent epidemics in both wild and domestic animals.

In this study, Packer will examine the movements of rabies, canine distemper and canine

parvovirus near the Serengeti, which is ringed with villages that house tens of thousands of dogs. Dogs will be vaccinated for rabies in

120 villages;

in 112 of those villages, dogs will also be vaccinated for distemper and parvovirus. Control villages in the outer ring -- that is, farther from the Serengeti -- will receive no vaccinations. Park wildlife will be monitored to see if any of those diseases are slipping through the vaccination zone. According to Packer, researchers hope “to find out if dogs are indeed the primary reservoir for these viruses and how we might best prevent their spread to wildlife.” Packer is a Distinguished McKnight University Professor in ecology, evolution, and behavior.



Design & Human Behavior Clearinghouse

Being Created in College of Human Ecology



left to right: Caren Martin & Denise Guerin

If you are an interior designer, architect or engineer and you have the task of designing an elementary school, where do you go to find information on how the environment influences behavior and learning? If you manage to find some of the information that is out there, do you have the time to go through journal article after article until you find the specific details that you need? Soon, your task will become much easier. Beginning this fall, design practitioners will be able to access hundreds of research summaries relating to the designed environment and human behavior in one, easily accessible location.

Through the generosity of the American Society of Interior Designers (ASID), the University of Minnesota is developing a clearinghouse for design and human behavior research. The clearinghouse, which will be based in the Department of Design, Housing and Apparel at the College of Human Ecology, is led by **Caren Martin**, Ph.D., CID, Director, and **Denise Guerin**, Ph.D., Coordinator. The clearinghouse will enhance the way interior designers gather and use knowledge to their design solutions by utilizing research-based information. ASID, the founding sponsor and collaborator, has awarded a grant of \$1.18 million to fund the project for four years. ASID also is looking to industry and architectural and design firms for participation and support as contributors to the clearinghouse.

At just a half-century old, the interior design profession is ready to broaden its body of abstract knowledge upon which theories are developed and research findings implemented—and the clearinghouse will assist in reaching that goal. The clearinghouse staff will

collect existing research findings from scholarly journals on issues pertaining to design specialties and related disciplines, and translate them into practitioner-friendly information for dissemination via the Internet. “The practitioner will be able to pull up a topic and very quickly see multiple useful pieces of information,” says Professor Guerin. In addition to the research summaries that will populate the searchable database, the clearinghouse will offer more than a dozen other deliverables, including a newsletter, research calendar, and collaborative research opportunities. “The clearinghouse starts to bring practice and research together much more closely,” says Dr. Martin.

The clearinghouse Web site will be available at no cost to a wide range of professional and public audiences, including interior design practitioners, clients, industry, educators, students, researchers, practitioners in related professions, code officials, legislators, and the public at large.

The objectives of the clearinghouse are to

- Identify and gather research that pertains to the design of the built environment
- Evaluate the quality and appropriateness of the research
- Interpret applicable research into design criteria
- Develop a searchable database of research-based design criteria
- Disseminate research findings in a practitioner-friendly way for use in the creation of research-based design solutions
- Develop venues for communication to facilitate sharing of information between all entities and individuals involved with the design of the built environment and/or the study of human behavior in the built environment
- Educate all parties regarding the important role, use and application of research
- Facilitate the identification, development and funding of research regarding design and human behavior

The clearinghouse will be launched through its own independent Web site this fall. For more information about the clearinghouse, contact Dr. Martin at cmartin@che.umn.edu or 612.624.5318. For information about the University of Minnesota Department of Design, Housing and Apparel, visit <http://www.che.umn.edu>. For more information about ASID, visit <http://www.asid.org>.

Proteome Analysis Core in the Biodale

The National Science Foundation has awarded a grant to **David A. Bernlohr** Ph.D., in conjunction with **Gary Nelsestuen** Ph.D., from the Department of Biochemistry, Molecular Biology, and Biophysics, to purchase equipment and technology in a dedicated facility termed the Proteome Analysis Core (PAC). The funds allocated to the PAC will be used to develop a core facility for rapid, quantitative, high-volume detection of proteins from plants, animals, insects and bacteria. The rapid detection and identification of large numbers of specific proteins from mixtures and extracts is essential for a variety of biological applications including bio-identification, evaluation of treatment or conditions (bio-responses) and assessment of development (biotechnology).

The first goal of the project is to provide researchers with the experimental technology necessary to assess expression of fluorescently labeled protein samples using nano-scale separation methodologies. The second component of the technology is the utilization of a robotically driven sample analysis

workstation that will interface with an existing mass spectrometry facility. The combination of fluorescence-based protein detection coupled with rapid sample identification via mass spectrometry and bioinformatics allows the user accurate identification of large numbers of proteins for a variety of basic and translational research needs.

The major theme of the PAC is one of training and education. As opposed to an analytical service facility, the PAC trains students, postdocs, and faculty such that they themselves can manage a project. Because of this, the technology has broad significance in diverse research areas such as crop and animal science, horticulture, bioremediation, biochemistry, and environmental science. The PAC will be located in the Biodale technology corridor on the St. Paul campus, adjacent to other core facilities linked to genome analysis, imaging, mass spectrometry and bioprocess technology. Training courses during the academic year and summer session are planned to engage students in proteomics and mass spectrometry.

NIH Grant to Fund Glycolipid Research

Rhoderick Brown, Professor in the University of Minnesota's Hormel Institute in Austin, Minnesota, has been awarded a \$1.34 million grant from the National Institutes of Health to continue and expand ongoing studies aimed at understanding the role that cell membrane glycolipids play in various normal cell processes and in disease states. For over a decade, Dr. Brown and his colleagues in the Section of Membrane Biochemistry have been working on unraveling how cells regulate the transport of glycolipids to and from cell membranes and how cells control glycolipid expression on their surfaces. These lipids have important medical and biotechnological significance. Certain glyco-lipids are used as attachment sites by bacteria, toxins, and viruses that can afflict the respiratory, intestinal, and urogenital tissues. Examples of such attachers include bacteria such as pathogenic *E. coli* and *N. gonorrhoea*, bacterial toxins associated with cholera, diph-

theria, and botulism, as well as influenza virus, HIV, and rotavirus.

Dr. Brown's work also has potential impact on cancer research. While normal cells carefully control the types of glycolipids expressed on their surface, cancer cells express glyco-lipids that differ from normal, non-cancerous cells. Designing immunotherapeutic agents that selectively target and destroy the cancerous cells expressing unusual glycolipids offers new avenues for fighting cancer. A fundamental first step for enhancing the selective binding of immunotherapeutic agents to cancer cells or in preventing the binding of bacteria or viruses to cells is defining the organizational state of glycolipids in membranes and understanding how reorganization of the glycolipids affects their ability to serve as target sites. With the help of the NIH grant, Dr. Brown and his colleagues in the Hormel Institute hope to take that first step.

Founded in 1942, the mission of the Hormel Institute is to conduct research and education in the biological sciences with applications in medicine and agriculture.

World-Class Research by Undergraduates

For University of Minnesota students, the Undergraduate Research Opportunities Program (UROP) can take them places few college students ever see. It allows them to pursue in-depth research on specific topics, to gain practical experience in project design and grant applications, to establish close contacts with faculty, and to develop research results worthy of publication. And all of this makes them more attractive to graduate and professional schools.

Over 5,500 students have participated in the program since its inception in 1985. UROP is designed to give full-time undergraduate students and faculty members the opportunity to work together on research, scholarly, or creative activities. Open to students on all four University of Minnesota campuses, this competitive program provides approximately 400 students a year with financial support while they assist with a faculty member's work or carry out projects of their own.

Recent Projects

Building a better bird feeder

UM Crookston students Dan Oberg and Debbie Fowler-Caron worked this past winter and spring with Professor John Loegering to study what types of seed and feeders are preferred by American Gold Finches and three other types of finches.

Fire in the woody understory

Cassandra Kurtz will be working this summer with Professor Eileen Carey to determine the effect of fire on the growth of trees and woody understory plants. She will perform microscopic analysis on cross sectional cuts to determine the age of the woody understory and use an image analysis system (WinDENDRO) on core samples to measure annual tree rings. "I have been interested in

the response of trees and woody vegetation to fire ever since I took forestry classes at the Lake Itasca Biological Station," says Kurtz. "The reason I am analyzing fires and their impact on tree growth is because there is little research on how fires increase the growth of a tree."

Natural wetland remediation

Jaime Nivala will be continuing her work this summer with Professor William Arnold at the site of a 1980s chemical spill in Mound, Minnesota. The spill has seeped into a nearby lake, endangering aquatic and plant life. "We hope to prove that we can replace mechanical remediation technologies with natural ones that are just as effective, and are low-maintenance and aesthetically pleasing as well," says Nivala. The project will allow her to gain experience in environmental engineering and lab work as she will sample and test for contamination in the wetland water and soil and perform data reduction and analysis. University of Minnesota Ph.D. Fellow Todd DeJournett heads the project.

Creating value from waste

Arvind Singh will be working with Professor Bruno Franck to demonstrate that waste paper can be used to create building components, and thus increase the current value of waste paper. "In this research project, I will determine if it is possible to produce building elements, such as door

frames and building blocks, from recycled paper recovered from the waste stream," says Singh. Currently, the majority of waste paper simply enters the waste stream and is never used again. Singh is particularly interested in assuaging the shortage of affordable housing by helping to create less expensive, renewable building materials. He will use the technologies of All Paper Recycling, a company that makes compressed hardboard from recycled paper in Minnesota.

"It's a great program. It provides these students with the opportunity to actively engage in research. The idea is to increase the quality of their education and their experience here."

John Loegering
Assistant
Professor of
Wildlife Ecology,
UM Crookston



Debbie Fowler-Caron, Dan Oberg, & John Loegering

U of M Professor Develops Technique to Cultivate World's Most Expensive Incense

When most people think of expensive natural resources, they think of gold, silver, or diamonds, not wood, unless you're from Southeast Asia or the Middle East. People living in Vietnam, Cambodia, New Guinea, or Saudi Arabia for example, might add agarwood to that list.

Agarwood is extremely rare and the world's most expensive incense. It's found only in the nearly extinct *Aquilaria* trees growing in Southeast Asia and can be worth as much as \$12,000



per pound and \$20,000 per liter for the perfume extract in certain parts of the world. Agarwood is formed when *Aquilaria* trees produce a resin as a defense mechanism against infection or injury causing its normally soft, white wood to become dark and hard. This resin-soaked wood is agarwood.

Agarwood is highly valued in Asian and Middle Eastern cultures for its medicinal qualities, for use in religious rituals, and as a perfume in countries like Japan, China, Yemen, and India. In Japan, many consider agarwood to be sacred and use it to anoint the dead. In the Buddhist religion, it is a key ingredient in many incense mixtures used to calm the spirit. Middle Eastern cultures see agarwood perfume as a status symbol.

Through research funded by the Rainforest Project Foundation, University of Minnesota Professor Robert Blanchette has developed a technique to cultivate agarwood. The rare wood is produced by drilling holes in the

trunks of *Aquilaria* trees, which stimulates resin production around the wounds. By using this technique, countries will soon be able to grow *Aquilaria* trees as a sustainable agricultural commodity.

"We hope to help save *Aquilaria* trees from poaching in countries where people can make several year's worth of salary from the agarwood found in just one tree," said Blanchette. "It's hard to imagine people in worse poverty than those in Vietnam. One of the goals is to give poor people in Southeast Asia a chance to raise agarwood as a crop, make a living through this renewable resource, and reduce the number of *Aquilaria* trees taken from the wild," added Blanchette.

Local residents and Blanchette's group are planting 17,000 *Aquilaria* trees in Vietnam this



summer and after three to four years they plan to harvest the agarwood. In the meantime, Blanchette continues to work on optimizing the ways agarwood is produced and harvested as well as plan to share what they learn in Vietnam with others. "We hope to take

our techniques to other countries with *Aquilaria* trees and help set-up a cultivation process to try and save these trees there as well," said Blanchette.

Discoveries

into Products

Maziar to Leave OVP

Christine Maziar has accepted the position of executive vice president and provost for the University of Minnesota, effective July 15, 2002, pending approval by the Board of Regents. In announcing the appointment, Mark G. Yudof, President, and Robert Bruininks, Interim President Designate, noted that "Christine brings outstanding academic and administrative experience, deep support among both internal and external communities, and a record of accomplishment as dean of the Graduate School and vice president for Research. During her tenure at the University, Christine has overseen the implementation of a new, nationally recognized grants management system, strengthened graduate programs, developed strong relationships with the external community, and championed a record level of research funding for the University. She has a deep commitment to our students and to advancing the academic mission of the University. We are confident that under her leadership the University will continue to improve its academic programs and build on the initiatives we've undertaken."

Brittany Lloyd Joins the EGMS Team as the New EGMS Coordinator

Hire represents a return to SPA

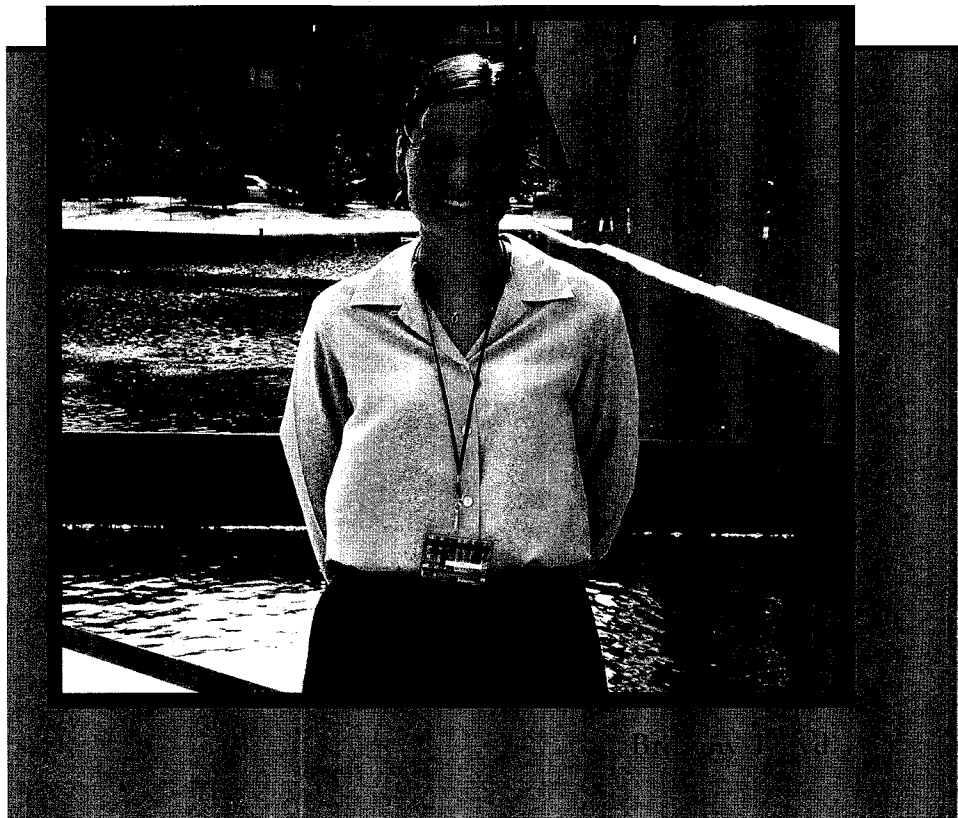
In May, the EGMS development team welcomed a new member, **Brittany Lloyd**. In the position of EGMS Coordinator, Brittany coordinates the development of the EGMS software and its implementation, both within and outside of SPA. She is also responsible for oversight of the EGMS business staff housed in SPA.

A native of Eveleth, Minnesota, Brittany holds a Bachelor of Science in Business Administration from Drake University in Des Moines, Iowa. Brittany's previous position was as a consultant with Arthur Andersen's Higher Education Consulting group. Her work experience and training is in strategic assessment and business process redesign, with a strong background in grants management. Among her Andersen assignments, Brittany spent March to October 2000 as a full-time consultant on the Andersen team that worked at SPA to improve its business processes. During her previous time in SPA, Brittany worked extensively on SPA's proposal and award management databases, which have since been incorporated into the EGMS software. Brittany's experience with these EGMS databases, as well as with SPA's staff and business processes, are invaluable assets in her new position. In addition to her experience at SPA, she worked with several other major research universities while at Andersen, including Harvard Medical School, Oregon Health & Sciences University, and Northwestern University.

Brittany's top short-term priority will be to coordinate the fall 2002 rollout for the initial imple-

mentation of the SPA EGMS award management database. After this rollout is complete, she will begin to play a major role in the future development of EGMS proposal features used by faculty and staff, serving as the liaison between the users and the EGMS technical development team. Brittany cited the addition to EGMS of user-centered enhancements, such as providing more user control over the formatting of proposal pages, as a key responsibility of her role as EGMS Coordinator. Another of Brittany's responsibilities is to coordinate updates to EGMS in response to the changing requirements of the University's sponsors. According to Brittany, "One of my priorities is to stay on top of the federal changes that are sure to come, especially with the federal mandates regarding electronic submission of proposals."

EGMS users can contact Brittany in her office at SPA by phone at 612.624.0411 or at lloyd020@umn.edu.



A New Focus on EGMS Usability

EGMS development efforts turn to a re-design of the user interface

In the nearly four years since the initial release of EGMS version 1.0, the EGMS team has continued development of the system on two fronts: expanded functionality of the software (adding new forms and new proposal options, for example) and keeping pace with the evolving requirements of University sponsors (modifying the NIH biosketch format and adding the NSF Synergetic Activities subsection, for example). While these efforts have been substantial and will continue, the EGMS team has recently undertaken another major development effort: re-design of the user interface.

Re-design work has begun

To address usability, the EGMS team has hired an experienced Web designer, **Mike Williams**, to focus full-time on EGMS interface design. Mike previously worked in the University's Center for Human Resource Development, where one of his projects was to develop the EGMS online help system (QuickHelp). In his new role on the EGMS team, he has analyzed EGMS user processes and needs, and has now begun the EGMS re-design work, addressing both the look and functionality of EGMS screens. The goal of the EGMS re-design, according to Mike, is to offer users "a visually consistent interface combined with more user-friendly functionality. The addition of reinforcing features, such as 'Item Help' and text cues, will assist users as they work through pages, while the new navigational elements will allow users to know where they are and even where they have been."

After creating a new EGMS design template, Mike brought design mock-ups for the Home Page and some of the initial screens of the EGMS Proposal Preparation Database 'to the users' through a presentation to the EGMS User Services Team. The EGMS User Services Team, a working group of EGMS business staff and departmental and collegiate EGMS users, provided Mike with additional input on the designs. He is now working to apply the initial design concept, which elicited positive feedback from the users on the team and has been approved by the EGMS management, to all the EGMS screens.

Release of the new EGMS look: AREPA to offer a sneak peek

EGMS users will get their first look at the new design that will eventually be used throughout all the EGMS databases with the release of a new version of the online AREPA (A Report of External Professional Activities; the former Form 15) form. Over the past few months, Mike has focused much of his efforts on creating a new design for the EGMS AREPA. The proposed AREPA re-design was recently approved by the Offices of the Vice President for Research and the Vice President for Human Resources. Current plans call for the re-designed AREPA form to be tested by users later this summer and then released for use in the fall 2002 filing period.

Because the EGMS Proposal Preparation Database includes so many discrete screens, completion of the re-design work for this database will take longer than that of the AREPA. At this time, no firm timeline has been established for the release of the new EGMS design in the Proposal Preparation Database. All new proposal screens will require extensive testing, both for proper functionality and for ease of use by users, prior to release. The release of the new version of the EGMS Proposal Preparation Database will also have to be coordinated with advance publicity about the EGMS upgrade and with publication of new user documentation supporting the upgrade.

For more information

As its implementation draws closer, additional information on the new AREPA will be published in *Research News Online* and sent to the collegiate AREPA coordinators. For more information about the re-design of the EGMS user interface, the EGMS User Services Team, or the new EGMS AREPA, contact the EGMS Communications Coordinator, **Linda Raab**, at 612.626.8427 or at raabx004@umn.edu.

<http://nirvana.ospa.umn.edu>



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This publication goes to all UM faculty. SPA *cannot* change the faculty mailing list. It is a list we *buy* quarterly. Human Resources generates the faculty mailing list and departments must initiate changes by contacting their departmental payroll person or Human Resources coordinator.



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