

NCURA REGION II *2007 Spring Meeting*



Research Administrators: Meeting the  
*Challenge of Change* in Our Communities



**MAY 6 – 8, 2007**

Rochester, New York

Rochester Hyatt Regency



**National Council of University Research Administrators  
Region II Spring Meeting**

**Research Administrators: Meeting the Challenge of  
Change in Our Communities**

**Hyatt Regency Hotel in Rochester, NY  
MAY 6 - 8, 2007**

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Brenda G. Kavanaugh, Co-Chair  
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Office of Research and Project  
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ing Standards  
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Rowan University

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**Region II Webpage:  
[www.ncuraregionii.org](http://www.ncuraregionii.org)**

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## City of Rochester



FAX (585) 428-6059  
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**Robert J. Duffy**  
Mayor

City Hall, Room 307-A  
30 Church Street  
Rochester, New York 14614-1284  
(585) 428-7045

May 6, 2007

Dear NCURA Region II Spring Meeting Participant:

I want to welcome you to this year's National Council of University Research Administrators (NCURA) Spring Meeting for Region II.

For a community like Rochester, educational institutions have always played an important role. But increasingly our futures are interwoven, as higher education plays a larger and more strategic role in our region's economic transformation. This collaboration will benefit our entire community.



Colleges and universities in the Greater Rochester area have demonstrated an unwavering commitment to helping our region adapt to its changing economic climate through their investment in infrastructure, increased employment, expanded community services and business development. Our colleges and universities employ more than 20,000 people and attract students from across the country and around the world who we encourage to stay and become part of the local work force.

We have collaborated on everything from housing developments, to internship programs, to public safety and economic development initiatives. With our continued partnership on community projects large and small, we will realize Rochester's potential together.

I welcome you and I thank you for your continued dedication to taking higher education beyond just the classroom.

Best regards,

Robert J. Duffy  
Mayor



NCURA Region II would like to thank

**Kodak**

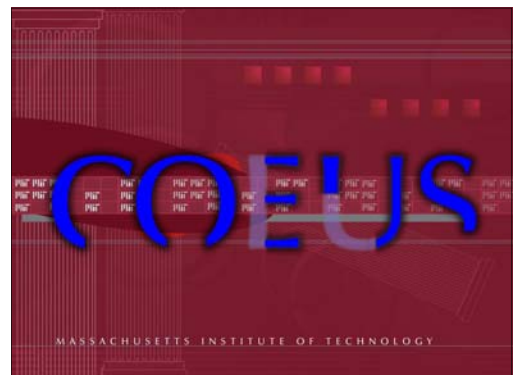
the Eastman Kodak Company  
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And Check Out The Information Included With Your  
Conference Materials



# **“Research Administrators: Meeting the Challenge of Change in Our Communities”**

**Sunday, May 6, 2007**

12:00 noon – 5:00 p.m.     **Registration**

1:00 p.m. – 4:00 p.m.     **Workshops**

## **Research Administrator Core Competency: Allowability Criteria from Budget Creation to Closeout**

*Denise Clark*, Director for Research Administration and Finance, Rensselaer Polytechnic Institute, and *Marti Dunne*, Associate Vice Provost for Research Compliance and Administration, New York University

A-21 is the operational document which drives budget development, processing of financial transactions, review of cost transfers, submission of invoices and close out. Understanding the allowability criteria of "reasonable, allocable, and consistent" and being able to apply these core principles in your daily thinking is essential and provides the building blocks for institutional compliance with cost regulations. This workshop is targeted to all research administrators from pre- and post-award, central and departmental at beginner and intermediate levels.

## **Departmental Administrators Training Programs**

*Michael Ritz*, Training Program Facilitator, Office of Research and Project Administration, University of Rochester; and *Donna L. Beyea*, Senior Research Administrator, Office of Research and Project Administration, University of Rochester

This three hour session will include discussion of the evolution of the University of Rochester's mandatory training program for sponsored programs administrators, including the challenges encountered and the secrets of its widespread acceptance and popularity. This session is a "must" for institutions interested in establishing a formal education program for its personnel involved in sponsored research administration.

## **Negotiating Techniques and Strategies**

*Garry Sanders*, Ordway Research Institute, Inc.

When is the last time you successfully negotiated something? What is a successful negotiator, and what makes someone successful? This primer will describe how to plan for negotiations, to set a professional tone and approach, to manage an actual negotiation, to bring the right people into negotiations at the right time, to recognize potential negotiation pitfalls, and to manage expectations and outcomes. Case examples from the world of research administration will be utilized, and attendees will have ample

opportunity to share their stories and strategies. Learning objectives: 1. Attendees will learn the different contexts, settings, and parties that affect negotiations. 2. Attendees will learn how to prepare for both the substance and process of negotiations. 3. Attendees will learn how to set appropriate objectives for negotiations.

5:30 p.m. – 7:30 p.m.

### **Welcome Reception**

Featuring the jazz ensemble Lumière (lumierejazz.com)  
Lumière is a jazz group featuring Brian Williams, upright bass, Roy Berns, guitar, and Ed Marris on the accordion. Each of these three fine artists has been active in the Rochester music scene for decades playing folk, blues, swing, rockabilly, Celtic, and jazz. Roy Berns is also a Professor in Color Science and the Director of the Munsell Color Science Laboratory at the Rochester Institute of Technology.

7:30 p.m.

### **Dinner Groups**

8:00 p.m. – 11:00 p.m.

### **Hospitality Suite open**

## **Monday, May 7, 2007**

7:30 a.m. – 5:00 p.m.

### **Registration**

7:30 a.m. – 8:30 a.m.

### **Breakfast Buffet**

8:30 a.m. – 10:30 a.m.

### **Plenary Panel:**

### **Transforming Communities: The Role of Higher Education**

University and college presidents from the Rochester region will discuss the changing relationship of their institutions and communities and the role of economic development in their institutions.

Moderator: *Mayor Robert Duffy, City of Rochester*

Presidents: *Daan Braveman*, President and Professor of English, Nazareth College; *Christopher Dahl*, President and Professor of English, State University of New York College at Geneseo, Geneseo, New York; *Janet J. Glocker*, Vice President, Monroe Community College; *Joel Seligman*, President, University of Rochester; *Albert Simone*, President, Rochester Institute of Technology. (See biographical statements at end of program.)



Mayor Duffy



President  
Braveman



President  
Dahl



Vice President  
Glocker



President  
Seligman



President  
Simone

10:30 a.m. – 10:45 a.m. **Break**

10:45 a.m. – 12:00 noon **Concurrent Sessions**

### **NIH Update**

*Carol Wigglesworth, Grants Policy Analyst, National Institutes of Health*

This update highlights the FY07 NIH budget and FY08 President's Budget Request, electronic submission of grant applications and eRA, as well as extramural training and outreach opportunities. Additional highlights include Multiple PIs, changes to the Kirschstein-National Research Service Awards (NRSA), and the latest administrative changes and policy issues affecting NIH and its grantees. Compliance issues, a compilation of contact information and electronic resources will also be provided.

### **Grant Writing: Don't Take It for Granted**

*Helen I. Thomas, Grants Writer, State University of New York at Geneseo*

Challenges engendered by electronic submission can shift our focus from product to process. But tough as it is, mastering the system gets no points from reviewers. The proposal itself will determine the success or failure of all of our efforts. This session explores ways to ensure the best possible submission with tips on the education of faculty, the role of a grants writer, and the path of the Principal Investigator. It will consider such essential grant writing issues as "When to kill the engineer."

### **Paper, Paper, Paper. . . What to do with all this Paper**

*Joseph Sullivan, Manager, Preaward Systems and Administration, Carnegie Mellon University*

With today's increasing demand on our time, we have found that any form of document management can have a time savings. This session will walk attendees through the "basic of basic" options to a high-end solution along with the processes put into place to support the system.

### **Assessing the Grants Office**

*Danielle Woodman, Director, Office of Academic Grants, Daemen College*

The *Chronicle of Higher Education* has featured numerous articles about assessment and accountability in higher education. More colleges and universities are requiring departments to submit not only annual reports, but assessment plans. How does this call for accountability and assessment impact our grants offices? Often we are asked the bottom-line dollar amount of what we procured in a given year, but this can vary depending on the grants faculty choose to submit and funding availability. What about the other functions of our grants offices, such as assisting new faculty in submitting grants, assisting with press announcements, conducting workshops, and drafting policies? What are other measures and benchmarks that grants offices can use to demonstrate our contribution to our institutions and evaluate our success? This session will explore the topic of assessment, examples of assessment models, and practices for assessing the office. It will focus primarily on pre-award offices at PUIs.

12:00 noon – 1:30 p.m.

## **Luncheon**

### NCURA Welcome

*Pam Whitlock*, President, NCURA National

### Presentation of 2007 Region II Distinguished Service Awards

Denise Clark, Director of Research Administration and Finance,  
Rensselaer Polytechnic Institute

Marti Dunne, Associate Vice President for Research Compliance and  
Administration, New York University

Gunta Lidars, Associate Vice President for Research Administration,  
University of Rochester

### Region II Business Meeting

*Ruth Tallman*, Region II Chair

1:45 p.m. – 3:00 p.m.

## **Concurrent Sessions**

### **National Science Foundation Update**

*Jeremy Leffler*, Outreach Specialist, National Science Foundation

New developments at NSF - programs, policies, people, budgets. This session will be a comprehensive review of what is new and exciting at the National Science Foundation. It will enable you to identify policy changes affecting your institution and identify new programs of interest to your researchers.

### **The Not So Sinister Side of Lobbying**

*David Bobbitt*, Vice President Institutional Advancement and *Dean Drake*, Associate Vice President, Research and Development, University of Maryland Biotechnology Institute

This is certainly not a new topic, but with the spiraling downward trend of federal grant dollars, research based institutions are seeking innovative ways to obtain a competitive advantage. One method research institutions have at their disposal is creating or expanding efforts in government relations. This certainly could be a slippery slope given federal lobbying compliance requirements. This session will provide the participants with guidance regarding the Provisions of the Lobbying Disclosure Act of 1995, and recommend a four step threshold test for determining if you have to report your activities to the federal government.

### **Export Controls and Universities**

*David J. Moses, Ph.D.*, Contracts Officer, Carnegie Mellon University

Because of the heightened concern about national security in a post-9/11 world, export compliance has come to the forefront as a very serious concern for academic research institutions. This presentation provides an overview of the issues and concerns. It is designed to raise the awareness of administrative and research personnel, answer basic questions about export compliance, discuss the regulations and the agencies that administer them, and explore how these export control regulations relate to universities as "fundamental research" institutions.

## **Proactive Financial Compliance Measures in Post-Award Management**

*Rashonda Jefferson-Harris, Compliance Monitor, Temple University*

Temple University's Office of Cost Analysis & Compliance was established to mitigate post-award compliance risks before financial transactions are approved. Our compliance monitors will be able to share the processes our director established for effort reporting, cost transfers, purchase requisitions and setting up lines of effective communication to interpret regulations into meaningful guidance for our research community.

3:00 p.m. – 3:15 p.m.

### **Break**

3:15 p.m. – 4:30 p.m.

### **Concurrent Sessions**

#### **Grants.gov Update**

*Mary Tutman, Vincent Sprouls and Michael Pellegrino, Program Advisors, Grants.Gov*

A review of recent changes and updates to the Grants.Gov electronic submission process. This session will be presented as a teleconference.

#### **Two Sides of a Coin: Central - Department Collaborations and Challenges**

*Alexandra McKeown, Assistant Vice President, Research Administration & Advancement, University of Maryland, College Park and Anne Albinak, Administrative Director, Institute for Computational Medicine, Johns Hopkins University*

Changing priorities in the central sponsored projects office (e.g. ERA, compliance, etc.) affect the departmental administrator's balance of grants responsibilities vs. other responsibilities. This session will examine what those changing priorities are, and how the departmental reaction to such changes can make the central office's job more challenging. Questions such as how the department administrator can use the central office to help balance their responsibilities and how the central office can gain the cooperation of the department will be discussed. The session will wrap up with an open dialog on how the central and departmental offices may work together to make each other's lives easier.

#### **Organizing for Pre-Award Services: Research Administrators and Proposal Development**

Moderator: *David Bond, Associate Director for Proposal Development;*  
Presenters: *María Cortés, Nancy Forand, Jason Polito, and Nicholas Rogers, all Senior Research Administrators, Rochester Institute of Technology*

Senior Research Administrators from Rochester Institute of Technology will share their experiences in delivering intensive pre-award services to PIs in eight colleges from a central office. Their model emphasizes intensive customized support for investigators, and was put in place to ramp up research at a predominantly undergraduate institution with a growing research portfolio. Topics of discussion include organized training, involving students, strategic planning, and idea generation.

**Bringing Faculty and Administrators Together to Produce Innovative Strategies at the Central and Departmental Level**

*Danielle Woodman*, Director, Office of Academic Grants, Daemen College;  
*Tolise Miles*, Administrator, Department of Medicine, Georgetown University Medical Center

This session focuses on engaging others to work together to implement new policies and procedures that create sustained transformation within the institution's various research administration and finance divisions.

5:30 p.m. – 10:00 p.m.

**An Evening at George Eastman House, Rochester**

Join your NCURA colleagues for a dinner and casual tour of the historic George Eastman House. George Eastman House International Museum of Photography and Film combines the world's leading collections of photography and film with the stately pleasures of the landmark Colonial Revival mansion and gardens that George Eastman called home from 1905 to 1932. (<http://www.eastmanhouse.org/>)

9:00 p.m. – 12:00 p.m.

**Hospitality Suite** open

**Tuesday, May 8, 2007**

7:30 a.m. – 10:30 a.m.

**Registration**

8:00 a.m. – 9:00 a.m.

**Continental Breakfast**

9:00 a.m. – 10:30 am

**Keynote Address:**

**Creating a New Federal Initiative: The Road to WIRED**

***Emily Stover DeRocco***

**Assistant Secretary of Labor for Employment and Training  
U. S. Department of Labor**

Introduction: *Marjorie Zack*, Director of Sponsored Research Services, Rochester Institute of Technology

*Emily Stover DeRocco*, Assistant Secretary of Labor for Employment and Training, U. S. Department of Labor

The Honorable Emily Stover DeRocco, Assistant Secretary of the US Department of Labor for Employment and Training, will speak to the theme of our conference, "*Transformation and the University.*" Since taking office in 2001, Ms. DeRocco has sought to transform the workforce investment system to meet the challenges of the 21st century global economy. As Assistant Secretary for Employment and Training, Ms. DeRocco is responsible for managing the country's public workforce investment system and, under her leadership, the Labor Department has introduced a number of initiatives to engage business, education and the workforce system in developing the talent of America's workers. One of these initiatives – WIRED – will be the subject of her talk.



**Assistant Secretary  
DeRocco**

The Workforce Innovation and Regional Economic Development initiative was created by the Department of Labor with initial awards to thirteen regions in early 2006. Region II is home to two of the thirteen regions initially funded under WIRED – Northeast Pennsylvania and the Finger Lakes Partnership in Upstate New York. Two Generation 2 WIRED regions also hail from Region II — Northern New Jersey and Delaware Valley Tri-State; they have received a \$5 million investment as well.

Through the President’s High Growth Job Training Initiative, Community-Based Job Training initiative and most recently, the Workforce Innovation in Regional Economic Development Initiative (WIRED), ETA is working to not only improve the public workforce system but also to transform the way local and regional economies approach workforce and economic development. Ms. DeRocco’s belief is that we must integrate and leverage resources from the workforce system, education, and industry in order to prepare our workforce to be globally competitive in the 21st century.

10:30 a.m. – 10:45 a.m.

### **Break**

10:45 – 12:00 Noon

### **Concurrent Sessions**

#### **Institutional Conflict of Interest**

*Gunta L. Lidars*, Associate Vice President for Research Administration, University of Rochester, and *Gail Norris*, Office of Technology Transfer, University of Rochester.

While research institutions have long established policies and processes governing faculty conflict of interest, institutional conflict of interest in research activities is an issue that is just now being vetted by many of our institutions. Guidelines on institutional conflict of interest (ICOI) have been proposed by university associations such as the AAU and AAMC, but there are no federal regulations that apply (yet!). This session will provide a summary of potential issues associated with ICOI related to research activities, discuss approaches to institutional policy and the management of institutional financial interests. Case studies will be presented for what is hoped to be a lively discussion on this topic.

#### **Ethical Issues in Research Administration**

*John Hanold*, Senior Associate Director, Office of Sponsored Programs, The Pennsylvania State University and *Nicole Corali*, Contract and Grant Specialist, Office of Research and Sponsored Programs, Lehigh University

“Research Ethics” has been a field of growing interest and concern since the 1980’s. The Office of Research Integrity (established in 1989 and given its current name in 1992) has worked diligently to stimulate awareness of “Responsible Conduct of Research” (RCR) in the academic community. RCR includes concepts important to research administration, including consideration of conflicts of interest, research misconduct, and proper treatment of human and animal subjects. However, RCR is focused primarily on the education of faculty members and graduate students. Research administrators face unique ethical challenges in their work, which deserve special treatment. In this session, we’ll discuss a number of case studies that highlight the kinds of ethical dilemmas we face every day,

including financial, contractual, and administrative challenges. We intend to examine the difference between the “legal” and the “ethical” as it pertains to research administration. It is our hope to engage the participants in a dialogue of how best to balance our many (and sometimes conflicting) responsibilities.

### **ERA in the Workplace**

*Jerome “Boe” Itinger*, Director of Grants and Contracts, College of Health and Human Development, The Pennsylvania State University and *JoAnn Parsons*, Proposal Specialist and ERA Coordinator, Office of Sponsored Programs, The Pennsylvania State University

This session will discuss how Penn State’s College of Health and Human Development has made the Grants.gov transition with NIH a success and how the many different eRA systems are used and coordinated across the University.

### **Complexities of Research: Taking Steps to Protect Research Subjects**

*Gary L. Chadwick*, Associate Provost and Director of the Office for Human Subject Protection, University of Rochester. (substituting for Dr. Sreekant Murthy, Drexel University)

The first part of this session, based on Dr. Murthy’s slides will focus on human subject protection systems and the changes that both research and the oversight of research have undergone since the original promulgation of federal regulations. The rest of the session will be open for discussion of human subject protection issues raised from the participants.

12:00 Noon

**Adjourn**

**NATIONAL COUNCIL OF RESEARCH ADMINISTRATORS – REGION II SPRING MEETING**  
***Transforming Communities: The Role of Higher Education***  
**Biographical Statements of Panel Participants**

**The Honorable Mayor Robert J. Duffy**

CITY OF ROCHESTER, NEW YORK

Bob Duffy was sworn in as Mayor of Rochester, New York, on January 1, 2006, when he immediately set out on an ambitious and aggressive plan to revitalize a city that led the state in a number of distressing categories. Faced with a shrinking tax base, high levels of crime and an eroding economy, Mayor Duffy set his agenda on improvements in public safety, education and economic development. He began by assembling a highly professional management team with decades of experience in the private, public and non-profit communities.

Mayor Duffy has demonstrated a knack for bringing the community together to support its most important needs. For example, 3,500 people volunteered to clean up and beautify Rochester during the six-week Rochester's Clean Sweep...Showing Pride in Our City" spring clean up. In addition, the collaborative efforts of the "Rochester Fair Share Coalition" cast light on Rochester's significant needs and helped bring in the highest-ever state aid increase in Rochester's history. The Mayor is also asking local businesses, individuals and organizations to provide jobs for city youth through a *Summer of Opportunity* initiative. Another hallmark of Mayor Duffy's administration is his commitment to customer service. He makes sure that every constituent contact is responded to within 48 hours and he holds monthly "City Hall on the Road" meetings to make government more accessible to citizens.

Born in Rochester, the youngest of three brothers, Bob Duffy played high school basketball before going on to college and joining the Rochester Police Department in 1976. He became Deputy Chief of Police in 1992 and Rochester's Chief of Police in 1998. Chief Duffy implemented several innovative programs while serving in Rochester's Police Department. He created an anti-gang initiative, collaborated with local and state police agencies to combat street violence, and convened Rochester's first-ever drug summit to seek answers to the most significant crime and public health issues. In 2005, he stepped down as Chief to actively campaign for Mayor.

In addition to Associates Degrees in Recreation Management and Criminal Justice from Monroe Community College, Mayor Duffy holds a degree in Multidisciplinary Studies from the Rochester Institute of Technology, with concentrations in Business Management, Criminal Justice and Communications. He earned a Master of Arts Degree in Public Administration from the Syracuse University Maxwell School of Citizenship and Public Affairs and St. John Fisher College awarded him an Honorary Doctor of Laws Degree in 2002.

**Daan Braveman**

**President and Professor of English**

NAZARETH COLLEGE, ROCHESTER, NEW YORK

Daan Braveman, the ninth president of Nazareth College, is a Rochester, N.Y., native. Braveman graduated from Brighton High School in 1965 and the University of Rochester in 1969. He obtained his law degree from the University of Pennsylvania in 1972 and was a law clerk to Justice Samuel J. Roberts of the Pennsylvania Supreme Court. He worked as an attorney for the Greater Upstate Law Project located in Rochester. While at the Project he was engaged in civil rights litigation throughout New York State. Braveman joined Syracuse University College of Law in 1977 and served as Dean from 1994 – 2002. During his tenure, he taught courses in civil procedure, civil rights, constitutional law, federal courts, and federal Indian law. He was one of the founders and directors of the Public Interest Law Firm at the Law College. He was inaugurated as the President of Nazareth College in 2005.

**Christopher C. Dahl, President and Professor of English**

STATE UNIVERSITY OF NEW YORK COLLEGE AT GENESEO

GENESEO, NEW YORK

Christopher C. Dahl is President and Professor of English at the State University of New York College at Geneseo. He was appointed to his current post in February 1996, after having served as provost and interim president. Before coming to Geneseo, he served as Dean of the School of Humanities and Social Sciences at Millersville University of Pennsylvania, from 1989 to 1994, and as a professor of English and chair of the Humanities Department at the University of Michigan-Dearborn, from 1973 to 1989.

A specialist in Victorian literature, Dahl received an A.B. in English, *magna cum laude*, from Harvard College in 1968, where he was elected to Phi Beta Kappa, and his Ph.D. and M.Phil., also in English, from Yale University. He is the author of *Louis Auchincloss* (1986) and articles on various topics of higher education and literature. A long-time contributor to the annual MLA Victorian Bibliography, he was advisory editor of the *North American Union List of Victorian Serials* (1985). As college president, Dahl continues to teach occasional courses in nineteenth-century British literature to undergraduates.

Dahl is currently the Chair of the Board of Directors of the Association of American Colleges and Universities and has served as president of the Research Society for Victorian Periodicals and the Project 30 Alliance for Teacher Education and Arts and Sciences. He is also a former president of the Council of Public Liberal Arts Colleges, a consortium of 22 colleges and universities dedicated to high-quality liberal arts education in the public sector. Locally, he is president of the Rochester Area Colleges, a consortium of 19 area colleges and universities, and serves on the board of the Center for Governmental Research in Rochester.

Under his leadership in the past ten years, Geneseo has clearly defined its role and mission as a public liberal arts college and center of excellence in undergraduate education in New York State, consistently recognized as one of the best public undergraduate colleges in the nation in various college guides. Geneseo opened a state-of-the-art Integrated Science Center in Fall 2006 which provides the technology and mentoring opportunities to prepare students for graduate school, anticipating their return to western New York as leaders in science and math education and researchers who will help drive a knowledge-based local economy. Geneseo participated in a Knight Foundation Collaborative on strategic community partnerships that sought to relate the College's multiple relationships with the regional community more closely to its liberal arts mission.

**Janet J. Glocker, Vice President**

MONROE COMMUNITY COLLEGE  
ROCHESTER, NEW YORK

Janet J. Glocker, Ph.D., serves as Vice President of Academic Services for Monroe Community College, she leads academic initiatives on two campuses, two applied training centers and five extension sites, and leads 1,070 faculty who teach some 37,000 students annually in about 1,300 courses as well as more than 50 professional and clerical staff. She is responsible for the implementation of academic programming, including curricular development, assessment and enrollment management services, admissions, registration, records management, experiential and adult education, and institutional research functions.

Dr. Glocker joined the faculty as an adjunct in 1975 and earned a full-time teaching position three years later. She continually took on increasing leadership roles, progressing through the academic ranks to professor and the administrative ranks from chair to dean to vice president in 2001.

A recipient of the State University of New York (SUNY) Chancellor's Award for Distinguished Service, she serves as the convener of the Midwest BOCES Joint Management Team-Rochester Area Colleges, is treasurer of the New York state chapter of the American Council on Education's Women's Network, is a founding member of the Rochester Chapter of American Association for Women in Community Colleges, and most recently served on the SUNY hiring committee for the new SUNY Chancellor

She also is involved in the League for Innovation in the Community College, Institute for Community College Development at Cornell University, National Council of Instructional Administrators, SUNY Chief Academic Officers and Rochester Area Colleges Chief Academic Officers Network.

Dr. Glocker holds a B.A. in general science from Bridgewater College, an M.A. in economics from Clemson University and a Ph.D. in higher education from Syracuse University.

**Joel Seligman, President**

UNIVERSITY OF ROCHESTER  
ROCHESTER, NEW YORK

One of the nation's leading experts on securities law, Seligman is the coauthor, with the late Louis Loss, of the 11-volume *Securities Regulation*, the leading treatise in the field, and author of *The Transformation of Wall Street: A History of the Securities and Exchange Commission and Modern Corporation Finance*.

He also has served as reporter for the National Conference of Commissioners on Uniform State Laws, Revision of Uniform Securities Act (1998-2002); as chair of the Securities and Exchange Commission Advisory Committee on Market Information (2000-01); and as a member of the American Institute of Certified Public Accountants Professional Ethics Executive Committee. He is currently a member of the board of NASD (National Association of Securities Dealers).

He is the author or coauthor of 20 books and over 40 articles on legal issues related to securities and corporations. He is the co-author (with John C. Coffee Jr. of Columbia University law school) of the leading casebook *Securities Regulations: Cases and Materials* and author of the casebook *Corporations: Cases and Materials*.

**Albert J. Simone, President**

ROCHESTER INSTITUTE OF TECHNOLOGY  
ROCHESTER, NEW YORK

Albert J. Simone became president of Rochester Institute of Technology on September 1, 1992. He is the eighth president in the university's 178-year history. He was formerly president of the University of Hawaii System and chancellor of the University of Hawaii at Manoa for nine years.

At RIT, Dr. Simone is responsible for one of the nation's leading career-oriented universities with 15,500-students from all 50 states and more than 100 foreign countries, 2,800 faculty and staff, an annual operating budget of more than \$492 million, and an endowment of more than \$580 million. The university has one of the oldest and largest cooperative education programs in the country.

Dr. Simone is the recipient of numerous honors, including: Rochester Business Alliance Civic Award (2006), Friends of Business and Workforce Award, RochesterWorks! (2006); Entrepreneurial American Leadership Award from Partners for Livable Communities, Washington, D.C., (2006); Rochester Rotary Award (2004); Catholic Family Center Award (2004); Rochester International Council International Citizen Award (2004); Boy Scouts of America Distinguished Citizen of the Year Award (2003); the National Association of Student Affairs Professionals (NASAP) President's Award (2001); the Robert Schuman Award (2000); the Henrietta Area Community Outstanding Citizen Award (2000); and the Jewish National Fund's highest honor, the Tree of Life Award, for humanitarian reasons and outstanding community involvement (1996).

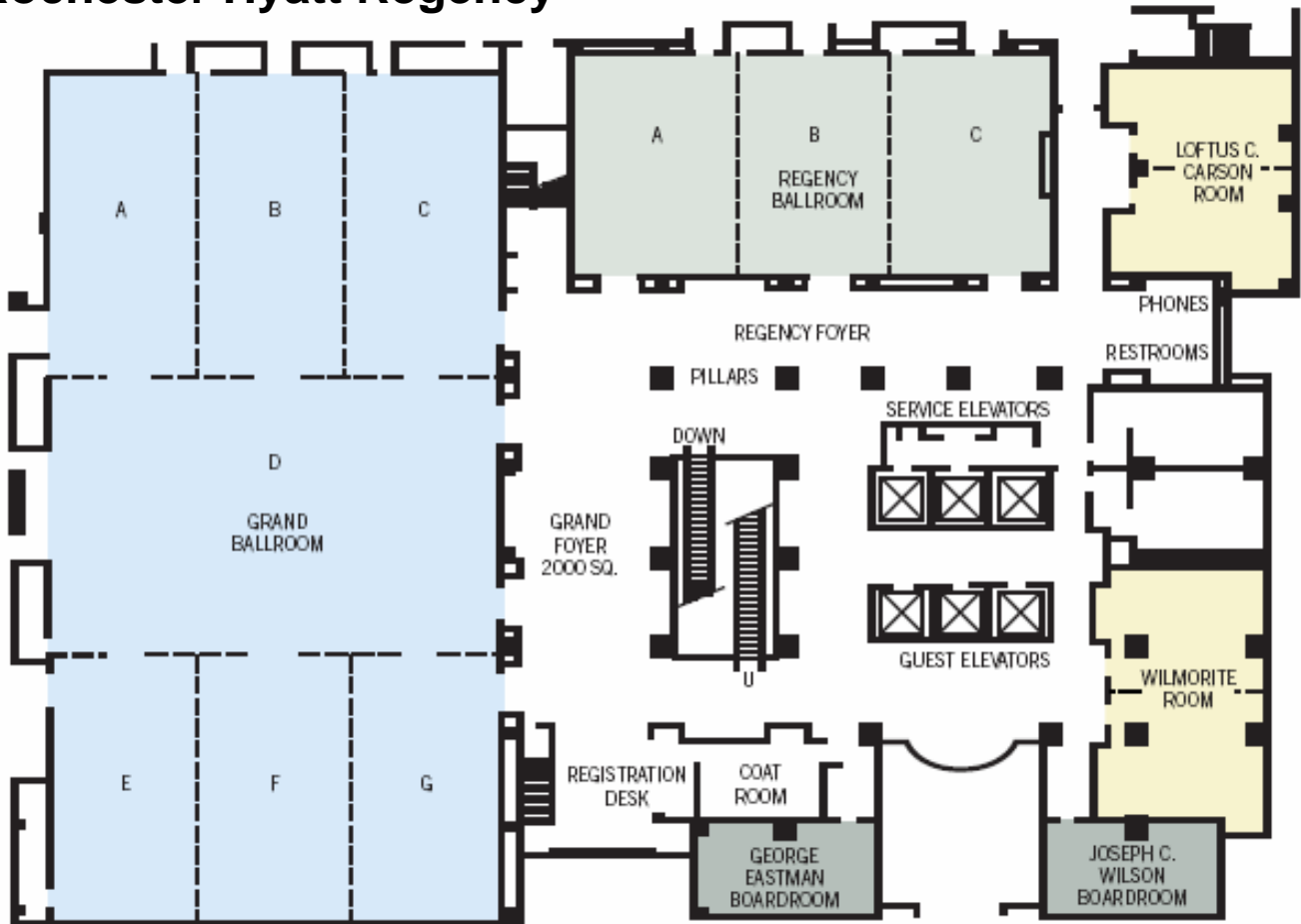
He is very active in a wide range of community organizations and has been a significant presence in Rochester since his arrival in 1992. He is currently active in the following organizations: Finger Lakes Partnership (Governing Board); Rochester Business Alliance (Board); Hillside Children's Center (Corporate Member); Center for Governmental Research (Board); and the Executive Committee of Upstate Partners, a partnership to strengthen relationships among Upstate colleges, communities and business. He is a member of The Conference Board; Council on Competitiveness; Association of Independent Technological Universities; RIT High Technology Incubator (Chairperson, Board. of Directors); New York State Business Council, Public Policy Institute (Board); Excellus Blue Cross/Blue Shield (Board); New York Commission on Independent Colleges and Universities (Trustee); National Commission for Cooperative Education (Trustee); Rochester Area College Consortium (Member); M&T Bank Advisory Board (Director); Wilson Community Center (Member); New York State Education Commissioner's Advisory Board on Higher Education (Member); and Eltrex Industries Board (Member).

Dr. Simone's professional memberships include: the Academy of Management; American Economic Association; American Production and Inventory Control Society; American Statistical Association; Decision Sciences Institute; Econometric Society; Financial Executives Institute; Operations Research Society of America; and the Institute of Management Science.

A member of Phi Beta Kappa, Beta Gamma Sigma and Phi Kappa Phi, he is the author of several books and numerous journal publications on the application of mathematics, statistics and computers to economics and business. He has served as an editor for major journals and book publishers. He is the founding editor of the scholarly journal *Decision Sciences* and is a Past President and Fellow of the Institute of Decision Sciences. Dr. Simone is collecting data and information on a book on higher education which he expects to write within the next few years.

He received his B.A. in economics from Tufts University and his Ph.D. in economics from Massachusetts Institute of Technology. Dr. Simone has taught at Tufts, MIT, Northeastern University, Boston College, Boston University, University of Cincinnati, and the University of Hawaii. He served as dean of the College of Business Administration at the University of Cincinnati from 1972-83.

# Rochester Hyatt Regency



▲ ENTIRE FLOOR COMPLETELY WHEELCHAIR ACCESSIBLE INCLUDING PHONES, DRINKING FOUNTAINS AND RESTROOMS

## Rochester, NY

