18th Annual Financial Research Administration Conference

CHARTING YOUR COURSE IN RESEARCH ADMINISTRATION

March 11 – 13, 2017
San Diego, CA
Final Program
Dear Colleagues,

Welcome to sunny San Diego and the 2017 NCURA Financial Research Administration (FRA) Conference. After 9 months of successful planning, along with the extraordinary efforts of our outstanding program committee and the NCURA staff, we are excited to be able to offer you over 180 sessions including pre-conference workshops. The program committee has assembled an exceptional offering of workshops, concurrent sessions, and discussion groups, in addition to spark sessions and breakfast roundtables, encompassing 8 tracks including Compliance, Departmental Administration, Human Capital, International, Primarily Undergraduate Institutions, Academic Medical Center & Hospital, Sponsored Projects Accounting, and a new track on Systems & Emerging Technologies.

We are confident that you each will find something to take away from this conference: a tool, a plan, or subject matter clarity/expertise that will help you “Chart Your Course in Research Administration.” As our field continues to become more global and technology continues to not only influence research, but also Research Administration, we recognize that our needs as a community continue to grow and evolve. Our engagement with colleagues, sponsors, faculty, etc., extends beyond our office and our campuses, and in many cases may extend beyond our country and perhaps our planet. We are exceptionally proud of this dynamic and robust program that we feel very much is reflective of the evolution and fluidity of both our field and our needs in Research Administration.

We are also delighted that Shari Harley, founder and president of international training firm, Candid Culture, will be our Keynote Speaker. Each of us has career goals and dreams. During “It’s Your Career. Manage It!” Shari will share powerful words to ask for what you want at work and words to deliver hard messages, so people at all levels listen. Learn to take control of your reputation by knowing how you are perceived and managing what you put in front of others. You can get the job and career you envision.

So, please join us in beautiful San Diego by registering for and attending the 2017 FRA conference. You will find the right mix of learning, networking and fun.

We look forward to seeing you in March!

Lindsey Demeritt  Govind Narasimhan
Thank you to the following generous sponsors!
CPE INFORMATION FOR CERTIFIED PUBLIC ACCOUNTANTS
NCURA is accredited by the National Registry of CPE Sponsors. This program is administered by the National Association of State Boards of Accountancy (NASBA) to sponsor and award Continuing Professional Education Credits (CPEs) to accounting professionals. Certified Public Accountants will need to complete a CPE credit form in order to receive CPE credits. CPE forms are available at the NCURA FRA Concierge Desk. Forms must be deposited in the CPE boxes located at the NCURA FRA Concierge desk at the end of the conference. In accordance with the standards of the National Registry of CPE Sponsors, 50 minutes equals 1 CPE. Depending on the sessions and workshops you choose to attend a maximum of 19 CPE credits can be issued for NCURA’s FRA Conference. Fields of study available are Specialized Knowledge and Applications (S), and Personal Development (PD). CPE Credits will be available for concurrent sessions, workshops and senior level forums. Discussion groups, spark sessions and the keynote address are not eligible for CPE credits.

Maximum Credits Available:
11 CPEs: Conference Only
15 CPEs: Conference + Half Day Pre-Conference Workshop
19 CPEs: Conference + Full Day Pre-Conference Workshop

Please Note: All Continuing Professional Education Credits (CPEs) will be issued by April 14, 2017.

REGISTRATION
Registration is available at www.ncura.edu and is available to any individual engaged in the administration of sponsored programs in a college, university, or teaching hospital. Please Note: Learning objectives for each session will be noted in the conference program. Please consult the session descriptions for program level details. The only prerequisite for meeting attendance is current involvement in university sponsored research programs. There is no advanced preparation required to attend sessions. This conference is a “group-live” offering. For information regarding administrative policies such as complaint resolution and refund, please contact our office at +1 202-466-3894.

OTHER INFORMATION
NCURA is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: www.nasbaregistry.org.

CEU INFORMATION FOR ALL PARTICIPANTS
NCURA will be offering CEUs for the FRA Conference and Pre-Conference Workshops. The Continuing Education Unit (CEU) is a nationally recognized unit designed to provide a record of an individual’s continuing education accomplishments. Please note, CEUs are calculated based on the standard formula of 1 CEU = 10 contact hours.

Maximum Credits Available:
13 Hours of Education: 1.3 CEUs: Conference Only
16 Hours of Education: 1.6 CEUs: Conference + Half Day Pre-Conference Workshop
19 Hours of Education: 1.9 CEUs: Conference + Full Day Pre-Conference Workshop

Please note: All Continuing Education Units (CEUs) will automatically be sent to all registrants of the conference by April 14, 2017.

SESSION DEFINITIONS
PRE-CONFERENCE WORKSHOPS are presentations, traditionally supported with PowerPoint and handouts and are taught by topic experts in a classroom style setting. These sessions have built in question and answer time and have anywhere from 20 – 70 attendees.

SENIOR FORUMS are intended for experienced participants in senior management positions. Current issues and basics are presumed known. No PowerPoint slides or handouts are used. Agenda topics should be known but discussion should dictate the length and depth of each topic. Session attendance is limited to 25 people to encourage discussion and active participation by attendees.

* Please note – The Workshops and the Senior Forums are the only sessions taking place on March 11. There is an additional fee for Workshops and Senior Forums.

CONCURRENT SESSIONS are presentations that have question and answer time built in. These sessions will have anywhere from 30 – 150 attendees.

DISCUSSION GROUPS are facilitated sessions that are limited to 30 participants. Instead of formal presentations, the specific topics are discussed, and information is shared by the group’s attendees.

SPARK SESSIONS are 15 – 20 minute, high energy, high deliverable offerings that will get right to the “good stuff,” and you will be able to check out multiple topics in each time slot.
Conference Overview

Friday, March 10, 2017
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(Additional fee required to attend)
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NCURA Connect..........................................21
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SEE PAGE 20 FOR INFORMATION TO HELP YOU PICK YOUR SESSIONS!
Pre-conference

Workshops & Senior Level Forums

(an additional fee is required)
## Pre-conference Workshops & Senior Level Forums

### Saturday, March 11, 2017

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<th>Program Level: Overview</th>
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### Overview of Workshop and Senior Level Forum Program Levels

- **Basic** level workshops assume some fundamental Research Administration knowledge.
- **Intermediate** level workshops assume basic knowledge, and the sessions introduce and develop topics that exceed basic knowledge. Workshops focus on building competency.
- **Overview** level workshops will provide a general review of a subject area from a broader perspective.
- **Update** level workshops will provide a general review of new developments.
- **Advanced** level workshops/senior level forums assume mastery of the subject and the workshops/senior level forums focus on in-depth knowledge or a broader range of topics. Workshops/senior level forums focus on mastering more difficult and complex scenarios.
**Full Day Pre-Conference Workshops**

Saturday, March 11, 2017  |  8:30 am – 5:00 pm  |  PRE-CONFERENCE WORKSHOPS

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### Full Day Workshop 1 ★ Program Level: Basic

**INTRODUCTION TO POST-AWARD**
This beginner Post-Award administration workshop is a professional development opportunity that focuses primarily on the foundational financial aspects of Research Administration. This workshop provides an overview of the financial regulatory compliance landscape, including Uniform Guidance impacts. We will engage in discussion and case studies, as well as lecture material.

**LEARNING OBJECTIVES**
- Participants will learn about the key functions of Post-Award administration, from award set-up to closeout and beyond.
- Participants will take away an understanding of the overall Post-Award process, making sense of all the pieces.

**PREREQUISITE:** None

Carrie Chesbro*, Sponsored Projects Training Manager, University of Oregon
Tara Seaton, Associate Director, Award Management, Arizona State University

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### Full Day Workshop 2 ★ Program Level: Intermediate

**THE MAGIC OF METRICS: HOW TO UTILIZE METRICS TO MEASURE AND DRIVE PERFORMANCE IN YOUR ORGANIZATION**
Our offices face a constant demand to analyze our operations, assess the impact of environmental changes, prepare for the future, and drive performance by us and others. As we seek to support research and our researchers within our institutions, analytics can provide us with a very strong tool. However, if not strategically implemented, this data or these metrics can become more of a chore than a tool. This workshop will cover how to develop a metrics structure that will successfully support you and your institution in achieving your goals. Topics covered will include:

- Strategies to identify, organize, and prioritize the key research metrics to track.
- The steps to be followed as part of the process to develop as a comprehensive metrics structure.
- Strategies for capturing and sharing these metrics.
- Strategies for communicating metrics and helping others to understand what the metrics reflect.
- How metrics can be used to increase performance by Research Administrators.

**LEARNING OBJECTIVES**
- Participants will understand how to develop a metrics structure for your organization.
- Participants will understand how to use metrics to drive performance within your organization.
- Participants will understand the common metrics typically tracked for Research Administration.

**PREREQUISITE:** Participants should have a general knowledge of analytics and metrics used at their organization.

Kerry Peluso*, Associate Vice President for Research Administration, Emory University
James J. Casey, Jr., Director, Office of Sponsored Programs, American University

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*Lead faculty*
ALLOWABLE COSTS IN THE UNIFORM GUIDANCE
As departmental Research Administrators, we are making decisions regarding allowable costs daily. The discussions and exercises of this workshop will provide an overview of the Uniform Guidance subparts, why they exist, and how to use them to be effective grant managers. The primary focus will be on allowable costs. This workshop is geared to those staff and faculty members who are new to Research Administration or those who want a refresher on the regulations that guide Research Administration. Participants will be given a number of scenarios to work through and then will present back to the group on the recommended decision(s) or course of action. Come prepared to engage in lively discussion!

LEARNING OBJECTIVES
• Participants will have an understanding of allowable costs on sponsored awards.
• Participants will continue professional development and take away ideas on how to manage federal grants, contracts and cooperative agreements.
• Participants will gain a basic understanding of the organization of the Uniform Guidance and where to find regulations for grant management.

PREREQUISITE: None

Robert G. Bingham-Roy*, Director of USG Sponsored Operations, Grants and Contracts Accounting, Georgia Institute of Technology
Kay Gilstrap, Grants & Contracts Officer III, Center for Molecular and Translational Medicine, Office of Sponsored Proposals and Awards, Georgia State University

Do you have YOUR COPY of our Uniform Guidance desk reference?

Contents Overview

• Subpart A – Acronyms and Definitions
• Subpart B – General Provisions
• Subpart C – Pre-Federal Award Requirements and Contents of Federal Awards
• Subpart D – Post-Federal Award Requirements
• Subpart E – Cost Principles
• Subpart F – Audit Requirements
• Appendix I to Part 200 – Full Text of Notice of Funding Opportunity
• Appendix II to Part 200 – Contract Provisions for Non-Federal Entity Contracts Under Federal Awards
• Appendix III to Part 200 – Indirect (F&A) Costs Identification and Assignment, and Rate Determination for Institutions of Higher Education (IHES)
• Appendix IV to Part 200 – Indirect (F&A) Costs Identification and Assignment, and Rate Determination for Nonprofit Organizations
• Appendix V to Part 200 – State/Local Governmentwide Central Service Cost Allocation Plans
• Appendix VI to Part 200 – Public Assistance Cost Allocation Plans
• Appendix VII to Part 200 – States and Local Government and Indian Tribe Indirect Cost Proposals
• Appendix VIII to Part 200 – Nonprofit Organizations Exempted from Subpart E – Cost Principles of Part 200
• Appendix IX to Part 200 – Hospital Cost Principles
• Appendix X to Part 200 – Data Collection Form (Form SF-SAC)
• Appendix XI to Part 200 – Compliance Supplement
• Appendix XII to Part 200 – Award Terms and Conditions for Recipient Integrity and Performance Matters
• Preamble to the Uniform Guidance (Published in Federal Register/ Vol. 78, No. 248/Thursday, December 26, 2013, 78590-78608)
• Additional Resources
• COFAR Frequently Asked Questions

Order your copies today! http://www.ncura.edu/PublicationsStore/Store.aspx

* Lead faculty
Morning Pre-Conference Workshops

**Half Day Workshop 4**

**WORK MAGIC WITH EXCEL**

Day-to-day Research Administration demands efficient reporting and effective communication—both within one’s institution and outside it. The right tools can make these challenges easier. This intermediate-level workshop will cover six categories of Excel tools useful for cleaning up messy data, integrating data from multiple sources, answering complex reporting questions, and automating tedious processes. In addition to specific Excel functions, the workshop will address more general issues: the pros and cons of using different tools, ways to effectively combine functions, and troubleshooting techniques. Examples will be drawn from the world of Research Administration, and participants will be given copies of all spreadsheets and training materials to review during and after the workshop.

**LEARNING OBJECTIVES**

- Participants will learn how text manipulation, logical, and lookup functions operate, and how they can be combined to solve challenging reporting problems.
- Participants will receive a comprehensive overview of pivot tables and an introduction to macros.
- Participants will review a variety of formatting techniques that can make spreadsheets clear, easy to use, and visually informative.

**PREREQUISITE:** A basic familiarity with Excel spreadsheets, e.g., use of simple formulas, sorting, and filtering.

**Robert Prentiss**, Senior Grants & Contract Specialist, Office of Sponsored Projects, The University of Texas at Austin

**Sara Clough**, Grants & Contracts Specialist, Office of Sponsored Projects, The University of Texas at Austin

**Half Day Workshop 5**

**EFFECTIVE MANAGEMENT PRACTICES**

Almost anyone can be a manager, but how can you use and develop your skills to be most effective? This workshop will focus on some fundamental management strategies, such as:

- Knowing your own strengths
- Hiring the right people
- Performance management
- Managing resources within the constraints of your environment
- Maintain positive employee engagement

Participants will be able to engage in several different management scenarios to better understand there isn’t just one ‘right’ answer to effectively managing a team. This workshop is geared toward participants who are relatively new (0-5 years) to managing a team.

**LEARNING OBJECTIVES**

- Participants will gain a foundational understanding of how to use their strengths to be effective.
- Participants will develop strategies to hire the right people.
- Participants will understand the importance of addressing both positive and negative performance issues.
- Participants will develop strategies to keep staff engaged.

**PREREQUISITE:** None

**Lisa E. Mosley**, Assistant Vice President, Research Operations, Arizona State University

**Jeremy A. Forsberg**, Assistant Vice President of Research, The University of Texas at Arlington
Morning Pre-Conference Workshops

Saturday, March 11, 2017 | 8:30 am – Noon | PRE-CONFERENCE WORKSHOPS & SENIOR LEVEL FORUMS

Half Day Workshop 6  ●  Program Level: Advanced

SUB-AWARDS RISK ASSESSMENT AND MONITORING PROCESS
This workshop will deliver an interactive, case study approach to understanding the required processes associated with high risk sub entities of international organizations. Are all foreign sub-awards high risk by nature? Could some possibly be deemed low risk? How do I know? What are the determining factors? This workshop will provide insights into the various means and methods available for making sound decisions on risk assessments of international collaborations.

LEARNING OBJECTIVES
• Participants will obtain in depth knowledge of the risk assessment process associated with high risk international collaborations.
• Participants will be able to develop a risk assessment tool for subsequent use.
• Participants will encounter case studies of an advance nature and glean expertise in assessing risk.

PREREQUISITE: Participants should have knowledge of sponsored project administration; knowledge of the Uniform Guidance; and, hold a position of decision making authority as it relates to sub-awards.

Denise J. Clark*, Associate Vice President for Administration and Chief of Staff, Division of Research, University of Maryland, College Park
Dennis J. Paffrath, Assistant Vice President for Sponsored Programs Administration, University of Maryland, Baltimore
Lori Ann M. Schultz, Senior Director, Research Partnership Services; University of Arizona

Half Day Workshop 7  ●  Program Level: Intermediate

POST-AWARD ADMINISTRATION: TOOLS AND TIPS FOR SUCCESS BEYOND THE BASICS FOR DEPARTMENTAL ADMINISTRATORS
The most effective way to strategically manage a research institution is to empower the people on the front line. Departmental Research Administrators are the key to building a successful research organization and must have the necessary resources, skills, and training to accomplish the goals of their departments. This workshop will cover how to make sure that the financial research activities that take place at the departmental level are functioning properly. We will begin at the award stage, cover financial management including effort reporting, cost transfers, and account reconciliation, then finish up with compliance, ensuring that the Uniform Guidance is understood and applied properly. In addition, the participants will learn how to build and grow a working relationship with all levels of administration within their organization.

LEARNING OBJECTIVES
• Participants will obtain hands-on tools to manage the financial day-to-day activities of Post-Award administration.
• Participants will acquire an understanding of how to use their institution’s policies and procedures to establish guidelines within their department.
• Participants will be given electronic forms: account reconciliation worksheet, post award trackers, budget templates and a compliance data sheet.
• Participants will gain exposure to a wide variety of financial compliance issues and learn best practices to do their job.

PREREQUISITE: Participants should have involvement or interest in empowering Departmental Research Administrators. We will build on a basic understanding of departmental financial research activities throughout the lifecycle of the grant.

Tolise Dailey*, Training Development Specialist, Office of Contracts and Grants (OCG), University of Colorado at Boulder
Anne Albinak, Assistant Director of Finance, Whiting School of Engineering’s Business Office, Johns Hopkins University
David Schultz, Director of Sponsored Programs Finance Administration, University of Louisiana at Lafayette

* Lead faculty
ALLOWABILITY, MY DEAR WATSON: THE CASE OF THE COST DETERMINATION
In this case study session, we will investigate the challenges of costing determinations by following the trail of clues from the funding announcement through the award documents. Armed with our cost principles, terms and conditions, and sleuthing skills, we will break down the process of determining allowable costs. We will also brainstorm methods of collecting information, communicating with project staff, and improving the process.

LEARNING OBJECTIVES
• Participants will be able to identify applicable regulations and guidelines.
• Participants will be able to interpret regulations, guidelines and award terms as they pertain to costing.
• Participants will be able to develop a standard approach to allowability determinations.
• Participants will be able to identify keys to success for making and communicating determinations.

PREREQUISITE: Participants should have an understanding of the award life-cycle and basic knowledge of the OMB Cost Principles.

Kari Vandergust*, Sponsored Projects Administrator, Sponsored Projects Services, University of Oregon
Megan Dietrich, Team Lead, Engineering Research Administration, Stanford University

SERVICE CENTERS: THE NOT SO SIMPLE BASICS
This workshop will provide a detailed overview of establishing, operating and oversight of service centers. Topics to be discussed will include definitions, federal regulations, creating budgets, setting billing rates, treatment & issues relating to subsidies, specialized service centers, compliance and common issues in operating service centers. Our time will include a presentation, discussion, and mini case studies/exercises.

LEARNING OBJECTIVES
• Participants will be provided with general information on the definitions of service centers, recharge centers, specialized service facilities and core facilities.
• Participants will discuss steps for establishing and operating a service center.
• Participants will have a detailed understanding of the complexities of setting the rates, establishing and applying subsidies, and of the various compliance issues associated with operating a service center.
• Participants will be provided with an opportunity to discuss institutional policies and procedures and school-specific questions regarding service centers.

PREREQUISITE: Participants should have an understanding of basic cost principles established by the Uniform Guidance for allowability, allocability, reasonableness and consistency of costs; a high level understanding of distinctions between direct and indirect costs; and, prior exposure to service centers in an institutional environment.

Sarah T. Axelrod*, Assistant Vice President, Office for Sponsored Programs, Harvard University
Zachary (Zach) Belton, Director, Huron Consulting Group
Morning Pre-Conference Workshops

**FINANCIAL COMPLIANCE: THE CHALLENGES THAT SENIOR ADMINISTRATORS CURRENTLY FACE**

This senior level forum is designed for experienced Research Administrators and will offer participants an opportunity to engage colleagues in a discussion of current challenges related to financial issues facing Pre- and Post-Award administrators, departmental staff, and compliance officers. It will closely examine key topics in Financial Research Administration including:

- Cost allocation principles and sponsored budget preparation
- Cost Sharing
- Effort Reporting
- Indirect Costs
- Cost transfers
- Subrecipient monitoring
- Service Centers
- International collaborations

We will highlight real-life issues and will use recent audit findings to illustrate the high risk compliance areas. We will also discuss possible solutions and strategies that institutions can adopt to minimize compliance risk. And, we will explore the impact of the Uniform Guidance on our policies and practices. The forum is intended to be highly interactive and we strongly encourage participants to come prepared to ask questions and to share their own experiences.

**LEARNING OBJECTIVES**

- Participants will learn about problems that have been identified in federal audits and investigations of non-profit institutions and will have a better understanding of high risk areas.
- Participants will be provided with proactive measures for improving financial policies and practices and for implementing proactive measure that can help to minimize compliance risk at non-profit institutions.

**PREREQUISITE:** It is expected that participants will have significant experience in Research Administration and at least a basic understanding of federal costing regulation as well as experience in issues related to financial compliance.

**Patrick W. Fitzgerald**, Associate Dean for Research Administration, Harvard University, NCURA Distinguished Educator

**Wendy Meister**, Director, Huron Consulting Group

**Michael Legrand**, Director, Research Accounting, University of California-Davis

* Lead faculty
STAFF DEVELOPMENT AND LEADERSHIP SUCCESSION PLANNING: DEVELOPING AN EFFECTIVE ROADMAP

As organizations grow they too often allow a layer of bureaucracy to trickle into their organization that inhibits their strongest resources; their people. It’s critical that employees are engaged at work. Nothing less than your Institution’s ability to develop long-term growth is at stake. An engaged workforce is your competitive advantage. It often establishes itself in an ethos that believes organizations grow from the outside in. This is a misguided and flawed model. Department success and customer satisfaction are a result of engaged people, and growth begins on the inside when individuals are engaged. The workshop will focus on developing a staff development and leadership succession plan. Having a strategy is a valuable tool to grow future leaders and to ensure continuous development within a shifting market. Success by succession planning is an investment that leaders are recognizing as an important strategy with long term benefits.

LEARNING OBJECTIVES

• Participants will learn how to set realistic goals for staff development.
• Participants will be able to identify and manage staff development.
• Participants will learn how to align staff development and succession planning.
• Participants will be able to identify and communicate the framework for human capital development.

PREREQUISITE: Participants should hold a senior level management position with some experience managing others.

Rosemary E. Madnick*, Executive Director, Office of Grants and Contracts Administration, University of Alaska, Fairbanks
Nancy R. Lewis, Director, Sponsored Projects, University of California-Irvine

BUILDING A BUDGET

Developing a clear and reasonable budget is one of the most important pieces of the proposal process. The regulations tell us the budget should be the financial expression of the statement of work. The ability to build a budget that directly ties to the work being performed enhances the chances of being funded by the sponsor, and protects us in the case of an audit. Understanding how to work with PIs to craft a sound, reasonable budget and budget justification is essential to our roles as Research Administrators.

LEARNING OBJECTIVES

• Using the Uniform Guidance as the basis for our discussion, this workshop will explore the foundations of budget building.
• Participants will discuss allowability, allocability, and reasonableness; administrative and clerical salary issues; determination of subrecipient, vendor, or consultant status; and many more issues surrounding budgeting, as well as crafting a solid budget justification.
• This workshop should lay the groundwork for Research Administrators to successfully and confidently collaborate with the PI build a sound budget that reflects the scope of work.

PREREQUISITE: None

Rebecca Hunsaker*, Director of Research Administration, University of Maryland, College Park
Gaye Bugenhagen, Director of Administrative Services, University of Maryland, College Park
Radostina Rogers, Assistant Director for Research Administration, Harvard University
STOP THE INSANITY! BUILD A BETTER FINANCIAL MANAGEMENT SYSTEM

Do you wish that you: Didn’t have to run so many reports to answer the question “How much money do I have left”? Didn’t have 10 grant accountants preparing reports 10 different ways? Had a system which met your needs instead of what IT thought your needs were? Could do all of this without spending tens or hundreds of thousands for another system? If you answered yes to any of these questions, then you will most likely benefit from this workshop. Many of us are dependent on a financial system that doesn’t really meet our needs. These financial systems often generate reports and data in formats that look fine on the screen but won’t let us work with the information. Sort of like the difference between getting a picture of a car and getting a real car. So we spend much of our time going through the painful process of running reports from different systems and then assembling them together to give us the information we need in a format that we can actually work with. This can be an extraordinarily cumbersome and labor-intensive activity. This workshop will examine a working model which is based on Excel and Access that knits together information from multiple sources so that our staff can efficiently provide a high level of customer service. These methods are compatible with any financial system and have successfully been used with SAP and PeopleSoft for eight years. The process which will be demonstrated could be deployed in several different environments. We are using it at the college level but it could just as well be used either at a university central office or departmental level.

You will receive working sample files that include programming code for the functions listed above along with many more not listed here.

LEARNING OBJECTIVES

The overarching objective is to learn how to create better tools to manage your sponsored funding and permit your staff to use their time more productively. As part of the tool creation process, you will learn:

- How to use dynamic ranges in Excel.
- How to write and edit code for macros in both Excel and Access.
- How to create a control file in Excel which will open and update as many files as you need for your situation.
- How to create a single file in Excel that can be sent to hundreds of recipients and when it is opened each one will have only the information that belongs to them.
- How to combine a pivot table and a formatted report on the same tab.
- How to pass parameters from Excel to Access.
- How to run queries in Access from an Excel workbook.

Participants will learn practical applications of the methods above through:

- A standardized tool which provides the backbone for managing our sponsored accounts.
- Abbreviated reports distributed to departmental administrative staff.
- Faculty reports which include both summary and graphical information along with line item detail.
- A workload report which provides a roadmap for our priorities each month.
- A metrics report which helps us gauge the level of customer service we are providing.
- Learn how this process can be integrated with your enterprise financial systems. Then use Excel and Access to customize the reports and tools you need to work more accurately and efficiently.

PREREQUISITE: You don’t need to be a Microsoft guru or even have the desire to be one. However, you should be familiar with your organization’s accounting system and have some experience in Excel. It would also be helpful to have some experience in Access. Knowledge of VBA would be useful but not essential as we intend to distribute a brief introductory video for VBA before the workshop.

Renie Hagensen*, Grants Manager, College of Engineering, University of Nebraska – Lincoln
Janet Renoe, Grants Specialist, University of Nebraska - Lincoln

* Lead faculty
EFFORT REPORTING: CREATING A COMPLIANT EFFORT REPORTING SYSTEM
Effort reporting just won’t go away. The administrative burden placed on faculty and institutions performing research continues to be a major area of concern for the research enterprise at the federal and university level. Publications from the NSB (2014), NAS (2015), and the FDP (Survey in 2005 & 2012) have reported or documented the extent in which the administrative burden placed on faculty can hinder the affordability and facilitation of science. Though effort reporting sounds like a simple concept, those with experience know there are a number of factors that can quickly reduce this administrative exercise to a bureaucratic nightmare. In addition, there aren’t many financial compliance issues that can draw the wrath from PIs as fast as this one; try explaining why a faculty member can’t exclude weekend proposal writing from their University activities.

While the Uniform Guidance (UG) leaves each institution with flexibility to devise a compliant system that works for them, there is a stronger emphasis on internal controls. This workshop will focus on some key principles for good management of the requirements for effort reporting: policies & procedures; training programs; documentation; and oversight. In addition, given the continuing federal audits of effort reporting, the workshop will focus on some common issues that have arisen in a number of OIG audits. Lastly, the workshop will introduce alternatives to effort reporting. One intent of the UG was to address these burdens by streamlining policy requirements and focusing on research outcomes. Will universities adopt the changes available to them in the UG to help reduce research burden? Workshop faculty will focus on the current and future landscape of regulatory reform and university initiatives to streamline/reduce administrative burden through a discussion of a funded research initiative. Workshop participants should plan to engage in a conversation with faculty and bring suggestions and questions.

LEARNING OBJECTIVES
• Participants will gain an understanding of the principal requirements of institutional effort reporting systems, including policies and procedures.
• Participants will gain knowledge of recent effort reporting audits and findings.
• Participants will gain knowledge about key issues that need attention in university practices on effort reporting.

PREREQUISITE: Participants will need a basic understanding of the principles of effort reporting in order to attend this workshop.

Ashley Elizabeth Whitaker*, Associate Director, Office of Sponsored Programs, Nova Southeastern University
Elena Cruse, Financial Business Manager, Financial Services, Kansas University Medical Center
David Ngo, Vice President & Chief Operating Officer, BOBD Consulting Group
Brian Korblick, Manager, Huron Consulting Group
Afternoon Pre-Conference Workshops

Half Day Workshop 15  *  Program Level: Basic

F&A RATE PROPOSAL PROCESS AT UNIVERSITIES: GUIDANCE FOR CENTRAL/DEPARTMENTAL ADMINISTRATORS
This workshop provides an overview of the Facilities & Administrative (F&A) rate calculation and rate negotiating process. Sections to be presented include the history of Federal cost reimbursement; the present environment faced by universities; a review of terminology from the OMB Uniform Guidance (with a focus on those associated with higher education and non-profits); an overview of the long-form process from submission to cognizant agency to eventual rate agreement; the structure and components of an F&A rate proposal; and the negotiating process including a typical Federal on-site review. Detailed and interactive examples will be provided focusing on maximizing an institution's F&A rate. This will include a discussion on the methodology, process, and benefits of performing a defendable space functional usage study, building componentization study, equipment inventory study, and library usage study. Co-presenting and providing his insights from an administrator's point of view will be Julian Facenda, Executive Director of the Old Dominion University Research Foundation (ODURF), the fiscal and administrative agent for the Old Dominion University (ODU). ODU is Virginia’s forward-focused, public university known for its research activities in engineering and the physical and life sciences.

LEARNING OBJECTIVES
• Participants will be able to describe to their peers and researchers how an F&A rate is calculated, a typical negotiation timeline, and its financial impact of the institution.
• Participants will be able to identify direct, indirect, and unallowable costs, per OMB Uniform Guidance, which is of particular interest to administrators working with researchers.

PREREQUISITE: None

Hank Kirschenmann*, Senior Manager, Attain, LLC
Julian Facenda, Executive Director, Old Dominion University Research Foundation

Half Day Workshop 16  *  Program Level: Basic

RESEARCH COMPLIANCE: WHAT POST-AWARD PROFESSIONALS NEED TO KNOW
This workshop will present an overview of several research compliance areas, including human subjects (IRB), animal research (IACUC), rDNA (IBC), export controls, conflict of interest, and UAS, with a focus on the intersection between compliance and Post-Award functions. It will utilize a combination of lecture, case studies, and exercises to identify compliance red flags in Post-Award administration, discuss the Post-Award professional’s role in compliance oversight, and explore best practices for compliance/post-award interactions.

LEARNING OBJECTIVES
• Participants will gain a basic working knowledge of major non-financial compliance areas (“Understand”).
• Participants will learn how to identify research activities that might trigger a compliance review or action (“Issue Spot”).
• Participants will develop tools to integrate compliance awareness into your Post-Award functions (“Manage”).

PREREQUISITE: None

Arch Harner*, Director, Office of Research Assurances, University of Idaho
Sarah Martonick, Manager, Post-Award, Office of Sponsored Programs, University of Idaho
INSTITUTIONAL REVIEW BOARD (IRB) & ITS IMPACT ON CLINICAL TRIALS AGREEMENTS
The student will be able to assess the applicability and impact of financial, legal and regulatory on clinical trials.

LEARNING OBJECTIVES
• Participants will learn the concepts associated with each type of agreement and the applicability of the different agreements using research scenarios as examples.
• Participants will be able to assess a research project to determine the type of agreement required and regulatory impacts.
• Participants will be able to identify the steps to successfully implement agreements to cover financial management of a clinical trial including budget generation, study compensation, etc.
• Participants will be able to recognize how to develop clinical research agreements based on investigator, institutional and sponsor requirements including intellectual property, conflict of interest, etc.
• Participants will be able to determine if a clinical trial requires that an agreement addressing human subjects protection issues is needed as related to areas such as regulatory oversight, privacy, or data management.

PREREQUISITE: Participants should have a basic understanding of the different types of clinical trial agreements. Participants attending this course will typically have at least 2-3 years of experience working in a clinical trial, research finance or IRB environment, and will have an inter-mediate knowledge of the regulations governing human subjects protection research.

Mary Veazie*, Executive Director, Clinical Research Finance, University of Texas M.D. Anderson Cancer Center
Andrew Walton, Director, Research Compliance Program, University of California, San Diego
Wanda Quezada, Associate Director of Research Regulations, University of Texas M.D. Anderson Cancer Center

* Lead faculty
BEST PRACTICES USED BY SENIOR RESEARCH ADMINISTRATORS
Each day is a new challenge if you are a Senior Research Administrator. We will dive deep into issues that Senior Research Administrators face using a facilitated conversation among participants to compare approaches on hot topics such as considering alternatives to effort reporting and potential personnel or systems changes due to the NIH Single IRB Policy. The impact and application of the Uniform Guidance will also be discussed. Additional topics might range from how institutions have implemented the new overtime regulations implemented under the Fair Labor Standards Act (FLSA) and the ensuring challenges that has produced, managing sub-award risk assessments and monitoring, data security compliance requirements under FISMA or the new NIST requirements, managing audits, or building engagement in Post-Award teams. We will solicit ideas from the registered participants prior to the meeting to tailor the discussion to topics that they are facing.

LEARNING OBJECTIVES
Participants will gain awareness of best practices in Research Administration.

PREREQUISITE: This forum is designed to address high level topics and is for senior level administrators.

Susan Wyatt Sedwick*, Consulting Associate, Attain, LLC
Cynthia Hope, Assistant Vice President for Research & Director of Sponsored Programs, The University of Alabama
WANT HELP PICKING SESSIONS?
The 2017 FRA Program Committee has identified general subject areas tags to help describe the content of each session. These will be listed at the end of the description in italics. These are meant for description only and function independently from the Certificate Program tracks.

The options are:
- Billing/Invoicing
- Budgeting/Forecasting
- Career Development
- Clinical Trials/Clinical Research
- Federal Regulation
- Industry Sponsored Research
- Infrastructure Development
- Non-financial Post-Award
- Policy Development
- Process Improvement
- Reporting & Metrics
- Uniform Guidance

FEDERAL REGULATION
OVERVIEW OF PROGRAM LEVELS

Basic level sessions assume some fundamental Research Administration knowledge.

Intermediate level sessions assume basic knowledge, and the sessions introduce and develop topics that exceed basic knowledge. Sessions focus on building competency.

Overview level sessions will provide a general review of a subject area from a broader perspective.

Update level sessions will provide a general review of new developments.

Advanced level sessions assume mastery of the subject and focus on in-depth knowledge or a broader range of topics. Sessions focus on mastering more difficult and complex scenarios.
Friday, March 10, 2017

4:00 – 6:00 pm
FRA CONCIERGE
PARTICIPANT MATERIALS PICK-UP

Saturday, March 11, 2017

7:30 am – 5:00 pm
FRA CONCIERGE
PARTICIPANT MATERIALS PICK-UP

8:30 am – 5:00 pm
PRE-CONFERENCE WORKSHOPS
AND SENIOR LEVEL FORUMS
(ADDITIONAL FEE REQUIRED TO ATTEND)

5:30 – 6:15 pm
NETWORKING RECEPTION

Sunday, March 12, 2017

6:15 – 7:15 am
NCURA FUN RUN AND POWER WALK

7:30 am – 5:00 pm
FRA CONCIERGE
PARTICIPANT MATERIALS PICK-UP
EXHIBITS OPEN
NSF CASH MANAGEMENT BOOTH
NCURA CONNECT

Visit NCURA Connect for all things NCURA! Learn about NCURA’s member benefits, check out information on all of the professional development opportunities, and discover the resources that NCURA provides. If you’re already an NCURA member, stop by to ensure you are getting the most out of your NCURA membership.

Sunday, March 12, 2017 continued

7:30 – 8:15 am
CONTINENTAL BREAKFAST and
BREAKFAST ROUNDTABLES

A-133 AUDITS
Emma Jacobsen*, EU Financial Manager, Grants Office, Karolinska Institutet

PRE-AWARD PERSPECTIVES: COME WITH YOUR QUESTIONS
Kari VanderGust*, Sponsored Projects Administrator, Sponsored Projects Services, University of Oregon

SMOOTH TRANSITIONS: PRE- TO POST-AWARD
Eva Björndal, Team Leader, Post-Contract and Financial Compliance, Karolinska Institutet

NSF/CASH MANAGEMENT
John Sholhead*, Branch Chief, Cash Management, Division of Financial Management, National Science Foundation, Office of Budget, Finance and Award Management (BFA)

DEPARTMENTAL MONTHLY MONITORING
Jamie Wilson*, Supervisor, Sponsored Programs Administration, University of Texas Southwestern Medical Center at Dallas

SUBRECIPIENT INVOICING
Michele Cordero-Boligitz, Manager, Sub-Awards, Research Administration Subcontracts, Thomas Jefferson University

MAKING THE MOST OF YOUR TIME WITH YOUR MANAGER
Tonya Kimble*, Reporting Supervisor, Office of Post-Award Administration, The University of Texas Southwestern Medical Center

SUBRECIPIENT MONITORING AND UTILIZING THE FDP EXPANDED CLEARINGHOUSE
Lynette Arias*, Assistant Vice Provost for Research, Office of Sponsored Programs, University of Washington
KEYNOTE ADDRESS: IT’S YOUR CAREER. MANAGE IT!
SHARI HARLEY, MA, CSP

Some careers stagnate, others soar. What’s the status of your career? Luckily, getting what you want at work is up to you. You can have the job and career you envision.

During It’s Your Career. Manage It! You’ll get the words to ask for what you want at work in a powerful way and get the words to deliver hard messages, so people at all levels listen. Take control of your reputation by knowing how you are perceived and managing what you put in front of others.

PROGRAM OUTCOMES:
• Discover and influence your reputation.
• Speak so people listen.
• Get more feedback, enabling you to take charge of your career.
• Become more fluid in talking about and supporting your organizations needs.
• Start new relationships and strengthen existing relationships.
• Get more feedback.
• Give more feedback in a way both you and the recipient are comfortable.
• Have productive relationships and meetings.

Shari Harley is the author of the book How to Say Anything to Anyone. She has a master’s degree in Communication and taught leadership development at the University of Denver. Shari is known globally as an engaging, funny, content-rich business speaker. Her international training firm, Candid Culture, is making it easier to tell the truth at work. Shari is bringing candid conversations back to the workplace. A former HR practitioner and operations leader, Shari’s practical approach has led her to speak and train in Singapore, Thailand, Malaysia, India, Dubai and Australia. From ‘Making Meetings Work’ and ‘Delegating Better’ to ‘Managing Your Career’ and ‘Saying Anything to Anyone,’ Shari’s tips are sure to delight and inform in a real, direct and very funny way. Watch videos and learn more about Shari at www.candidculture.com.
AGENDA

Sunday, March 12, 2017

10:15 – 11:30 am | CONCURRENT SESSIONS

Compliance  •  Program Level: Basic

THE ART OF HERDING CATS: TRAINING FACULTY ON FEDERAL FINANCIAL COMPLIANCE

Facility awareness and or application of financial compliance rules and regulations to their sponsored awards is inconsistent at best, and non-existent at worst. Since faculty are the first line of defense in the financial compliance of their awards (e.g., through purchasing, reviewing costs, allocating costs, or transferring inappropriate costs off awards timely) it's important that they receive training to better understand the rules and regulations that govern their sponsored agreements. Further, since the institutional risk for noncompliance can be steep, it's even more important for institutions to educate their faculty and to help them to understand their fiscal responsibilities; while the PI is the individual responsible for his or her award, it is ultimately the institution that pays the fine. Yet training faculty can seem like herding cats; it's easier said than done. Join your colleagues in this session to learn practical approaches for training faculty on fiscal stewardship of their federal awards. Rest assured, it is possible!

LEARNING OBJECTIVES
- Participants will be able to identify common financial compliance issues that faculty have.
- Participants will be provided with tips and techniques for educating faculty.
- Participants will highlight possible delivery methods.
- Participants will share success stories.

PREREQUISITE: None

Adrienne Larmett*, Manager, Higher Education and Research Institutions Practice, Baker Tilly
Steve Tustin, Specialist, Higher Education and Research Institutions Practice, Baker Tilly
Patricia J. Russo, Associate Vice President and Comptroller, Office of the Comptroller, Drexel University

Compliance  •  Program Level: Advanced

PUBLIC AND PRIVATE UNIVERSITIES AND HOSPITALS – MAJOR DIFFERENCES TO KEEP IN MIND TO SUCCESSFULLY MANAGE COLLABORATIVE PROJECTS

During this session we will focus on:
- policies, regulations & guidelines applicable to different types of organizations;
- issues associated with differences among organizations; and,
- best practices on effectively managing collaborative projects among different types of organizations to ensure compliance matters in accordance with established laws, regulations & policies.

LEARNING OBJECTIVES
- Participants will be able to identify what the major differences are for efficiently & effectively managing Research Administration related matters at the department and central offices.
- Participants will learn how other universities & hospitals address these matters.
- Participants will discuss how your departments and central offices manage these issues.
- Participants will become aware of variety of approaches & reasons behind them to effectively deal with other organizations.

PREREQUISITE: Participants should be involved with managing collaborative projects between different types of organizations.

Elena Glatman*, Director, Sponsored Projects Administration, University of Massachusetts Dartmouth
Patricia McNulty, Principal Consultant, Concurrent Research

* Lead faculty
10:15 – 11:30 am | CONCURRENT SESSIONS CONTINUED

**Lead faculty**

**Federal**  |  Program Level: Update

**AN OMB UPDATE ON THE 2 CFR UNIFORM GUIDANCE – THE WONDER YEARS**
The 2 CFR 200 Uniform Guidance has now been effective and applicable for two years. This session will include a brief overview of changes to The Guidance in 2016. Frequently asked questions will be answered and best practices from implementation and audits will be shared. This session applies to ALL types of grantees (State and local governments, Tribal governments, nonprofit organizations and colleges & universities).

(TAGS: Federal Regulation; Uniform Guidance)

**LEARNING OBJECTIVES**
- Participants will gain insight into the updates to the Uniform Guidance.
- Participants will learn about the impact on institution grant management systems two years into implementation.
- Participants will learn to avoid some implementation and audit issues.
- Participants will hear about some best practices for implementation and use.

**PREREQUISITE:** Participants should have a general understanding of the Uniform Guidance.

**Gilbert Tran**, Senior Policy Analyst, Executive Office of the President, Office of Management and Budget

**Departmental**  |  Program Level: Basic

**LEARNING OBJECTIVES**
- Participants will focus on the areas in which departmental Research Administrators need to be an expert in order to effectively manage research.

**PREREQUISITE:** None

**Marchon Jackson**, Director of Finance and Administration, Sponsored Programs Accounting and Compliance, University of Maryland, College Park

**Vanessa Greer**, Director, Sponsored Programs Accounting and Compliance, University of Maryland, College Park

**Departmental**  |  Program Level: Intermediate

**LEARNING OBJECTIVES**
- Participants will be able to describe to their peers and researchers how an F&A rate is calculated and a typical negotiation timeline.
- Participants will be able to describe to their peers a number of high-level and low-level strategies designed to increase the University's F&A rate and overall recovery.
- Participants will be able to identify direct, indirect, and unallowable costs, per OMB Uniform Guidance, which is of particular interest to administrators working with researchers.

**PREREQUISITE:** Participants should have a basic understanding of the F&A rate.

**Hank Kirschennm**an, Senior Manager, Attain, LLC

**Julian Facenda**, Executive Director, Old Dominion University Research Foundation (ODURF), the fiscal and administrative agent for the Old Dominion University (ODU). ODU is Virginia’s forward-focused, public university known for its research activities in engineering and the physical and life sciences.

(TAG: Reporting & Metrics)
10:15 – 11:30 am | CONCURRENT SESSIONS CONTINUED

This session may also be of interest to participants in the following areas: Compliance, Departmental

**BEST PRACTICES TO REDUCE FACULTY & ADMINISTRATIVE BURDEN**

The administrative burden placed on faculty and institutions performing research continues to be a major area of concern for the research enterprise at the federal and university level. Publications from the National Science Board (2014), National Academies of Sciences (2015), and the Federal Demonstration Partnership (Survey in 2005 and 2012) have reported or documented the extent in which the administrative burden placed on faculty can hinder the affordability and facilitation of science. One intent of the Uniform Guidance (2 CFR 200) was to address these burdens by streamlining policy requirements and focusing on research outcomes. This session will discuss practices and methods for how Research Administration offices can adopt best practices that reduce burden while minimizing the potential for audit findings. Discussion will also be focused on allocation of resources and potential ways to reinvent resources into more value add activities that may previously focus compliance or monitoring.

**LEARNING OBJECTIVES**

- Participants will have a better understanding of audit risk vs. compliance.
- Participants will discuss policy and procedure approaches to reduce Administrative and Faculty Burden.
- Participants will discuss taking a risk based approach to administrative effectiveness.

**PREREQUISITES**

- Participants should have an understanding of Uniform Guidance compensation requirements.
- Participants should be familiar with the basics of risk assessment and audit processes.
- Participants should be able to apply critical thinking to regulatory interpretation.

**Jeremy A. Forsberg**, Assistant Vice President of Research, The University of Texas at Arlington

**Lisa E. Mosley**, Assistant Vice President, Research Operations, Arizona State University

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International | Program Level: Overview

This session may also be of interest to participants in the following areas: Compliance, Sponsored Project Accounting

**MANAGING INTERNATIONAL PROJECTS: STRUCTURING FINANCIAL OVERSIGHT TO ACHIEVE COMPLIANCE AND PROGRAMMATIC GOALS**

The session will focus on the various financial risks inherent in operating programs outside of the U.S., with special emphasis on projects subject to USG grant terms and conditions. Among the topics considered in this session will be in-country incorporation/registering to do business, building in-country organizational capacity, separation and tracing of funds, subcontractor selection, political and operational alliance-building, and the subcontractor/vendor distinction and its significance for international projects. The session will also identify how the recent OMB omnibus guidance has changed some requirements that are important for international projects and will illustrate risks of violating the Foreign Corrupt Practices Act (FCPA).

**LEARNING OBJECTIVES**

- Participants will be able to identify the overall strategic risks and opportunities in international projects.
- Participants will be able to identify and understand how the OMB omnibus circular has changed some requirements for these projects.
- Participants will be able to identify and understand how to implement overarching financial and operational controls in these projects.
- Participants will understand relevant FCPA risks.

**PREREQUISITE:** Participants should have a basic understanding of USG grant terms and conditions.

**Mark Barnes**, Attorney, Ropes & Gray LLC

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* Lead faculty
### 10:15 – 11:30 am | CONCURRENT SESSIONS CONTINUED

#### Medical/Hospital

**Program Level: Basic**

This session may also be of interest to participants in the following area: Compliance

**WHAT DO THE CHANGES IN THE COMMON RULE NPRM MEAN FOR YOUR RESEARCH PROGRAM**

This session will focus on presentation of the revisions to the Common Rule. Included in the discussion will be areas that have not been revised as proposed, suggestions for taking advantage of proposed flexibility and how to present these opportunities for flexibility to University Administration, especially HRPP Directors and Research Compliance.

We will address:

- Impact on consent
- Areas where clarification provided by the revisions could potentially provide more freedom in certain kinds of research
- Discuss the lessening of administrative burden that the revisions provide

*(TAG: Federal Regulation)*

#### Predominantly Undergraduate Institutions

**Program Level: Basic**

**INTERNATIONAL COLLABORATIONS FOR THE PUI**

Your faculty member has decided to work with an international organization and you have to begin the process of determining whether this collaboration will be successful or not. The contract has been negotiated and signed off by all parties. What do you need to do? Is the international organization a subrecipient to your federal award? Or are you receiving the award directly from that international organization? What processes do you need to put into place, in order to have a successful collaboration? This session will provide you an understanding of the required processes associated with working with international organizations. What are the risk factors and how to mitigate them. Presenters will provide examples of when it went right and when it went wrong and how we managed both types.

*(TAGS: Federal Regulation; Infrastructure Development; Process Improvement)*
This session may also be of interest to participants in the following area: Departmental

**WHAT IS MY BALANCE? NORTHWESTERN UNIVERSITY RESEARCH PORTAL – A ONE-STOP-SHOP FOR RESEARCH ADMINISTRATION**

In collaboration with faculty and staff, Northwestern has developed a new online tool, the Research Portal. The Research Portal streamlines how faculty and staff access and use Research Administration information. End users wanted financial management made easy like ‘online banking’ or ‘shopping at Amazon’. Researchers see their own portfolios immediately upon login – no searching required. They can move from summary data to transactional data in 3 clicks. There is no need to run multiple reports for different time periods. The Research Portal answers questions such as “what’s my balance”, “do I have the funding available to hire another graduate student”, “when is my project ending”, and “are there additional funds expected”?  

(TAGS: Billing/Invoicing; Budgeting/Forecasting; Reporting & Metrics)

**LEARNING OBJECTIVES**

- Participants will understand the prerequisites of transitioning into a paperless office.
- Participants will explore the major benefits of working with paperless files.
- Participants will discuss implementation strategies for “going paperless” in a sponsored projects environment.
- Participants will be able to recognize the key elements of vendor selection and support.
- Participants will become familiar with designing a functional electronic filing system and document repository.
- Participants will discuss the potential pitfalls, lessons learned, and best practices derived from the Department of Contracts and Grants paperless implementation at the university of Southern California.

**PREREQUISITE:** None

Jennifer Mitchell*, Associate Executive Director for Research Financial Operations, Northwestern University

Lora Ferraro, Senior Project Management Specialist, IT Administrative Systems Project Management Office, Northwestern University

Tomeka L. Bolar, Business Administrator, Psychology, Northwestern University

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This session may also be of interest to participants in the following areas: Compliance, Sponsored Project Accounting

**PREPARING FOR THE BONFIRE: CREATING A PAPERLESS OFFICE**

Are you considering making your operations paper-free? Have you considered what electronic files should look like and how they should move within your office? How do you convert all those old paper files? How to convince everyone to “let go” of the paper? How much efficiency can be achieved with having files at your fingertips? Discussions include strategies for designing a paperless filing system, even in the absence of an electronic data system; design and folder structure for electronic filing systems; conversion options for years of old paper files and disposing of paper files; implementation strategies for an electronic filing system; pitfalls and lessons learned from the implementation of a paperless system; how paperless files has improved office workflow, customer service and proposal/award management.

(TAGS: Billing/Invoicing; Non-financial Post-Award; Process Improvement)

**LEARNING OBJECTIVES**

- Participants will understand the prerequisites of transitioning into a paperless office.
- Participants will explore the major benefits of working with paperless files.
- Participants will discuss implementation strategies for “going paperless” in a sponsored projects environment.
- Participants will be able to recognize the key elements of vendor selection and support.
- Participants will become familiar with designing a functional electronic filing system and document repository.
- Participants will discuss the potential pitfalls, lessons learned, and best practices derived from the Department of Contracts and Grants paperless implementation at the university of Southern California.

**PREREQUISITE:** None

Noah Congelliere*, Training & Development Specialist, Contracts and Grants, University of Southern California

Jeri Muniz, Executive Director, Contracts & Grants, University of Southern California
MANAGING EXPECTATIONS
Have you ever felt frustrated that your team is not meeting expectations, or that other areas are not meeting expectations? The first step is to remain calm, step back, and assess your expectations and compare them to reality. If you find you are sending your team back to the drawing board too often or that tasks/goals are not being achieved in a timely manner, perhaps your expectations are not being clearly communicated. Or they are not being communicated enough. Or they are unrealistic. Are you instilling confidence in your team and are you, yourself confident that you will achieve your goals. And are you planning for the “unexpected”. These are all aspects of managing expectations for both yourself and your team. Today, during this session, you will learn the questions to ask yourself in order to set appropriate, strong, and realistic expectations, which will ultimately lead to better employee engagement, satisfaction, and retention.

Kathleen M. Larmett*, Executive Director, National Council of University Research Administrators

INTERNATIONAL
MERGING DIFFERENT WORLDS: STRATEGIES FOR REDUCING THE ADMINISTRATIVE BURDENS RELATED TO INTERNATIONAL RESEARCH
With all the positive benefits of expanding research collaborations internationally, comes many administrative challenges. We face differences in laws and regulations, in sponsor requirements, in cultural expectations - and so many other areas. Everything from the contractual requirements we are familiar with to the audit requirements we are subject to vary greatly. For this discussion group, please bring your international collaboration administrative challenges (as well as your solutions) for discussion.

Kerry Peluso*, Associate Vice President for Research Administration, Emory University

MEDICAL/HOSPITAL
DENIALS MANAGEMENT: SPONSOR PAYMENTS FOR GAPS IN PATIENT COVERAGES
Participants will understand the importance of denials management for research subjects participating in clinical trials. Many organizations are challenged by the management of denials: the lack of transparency and the organizational cost of the denials. Participants will learn best practices with denials for research subjects participants and tools/resources for developing a denials management system.

Andrew Walton*, Director, Research Compliance Program, University of California, San Diego

Human Capital
Kathleen M. Larmett*, Executive Director, National Council of University Research Administrators

Sunday, March 12, 2017
### Thursday, March 16, 2017  AGENDA

#### 10:15 – 11:30 am | DISCUSSION GROUPS CONTINUED

**Predominantly Undergraduate Institutions**

**RISK ASSESSMENT FOR A PUI**
PUIs typically have only a few (or maybe even just one) staff members who are responsible for all facets and phases of sponsored projects. The assessment of risk based on the requirements and regulations can feel overwhelming to a small office. This discussion group will discuss what risk assessment means at a PUI and share tips and ideas for how best to do this.

<table>
<thead>
<tr>
<th>Shuna Holmes*</th>
<th>Manager, Office of Sponsored Research, Soka University of America</th>
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<tbody>
<tr>
<td>Chrissa Papaioannou</td>
<td>Senior Director of Research Administration, Office of Sponsored Programs, Stevens Institute of Technology</td>
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</table>

**Sponsored Project Accounting**
This session may also be of interest to participants in the following area: Compliance

**THINKING OF YOUR COST TRANSFER PROCESS THROUGH A COSO LENS**
Monitoring awards for cost transfer activity is not gone with Uniform Guidance. By understanding your cost transfer population and opportunities to partner with offices across campus, you may be able to develop and implement monitoring tools that can help streamline your process and enhance consistency across your institution.

<table>
<thead>
<tr>
<th>Glynis Sherard*</th>
<th>Director, Office of Finance and Treasury, Princeton University</th>
</tr>
</thead>
<tbody>
<tr>
<td>Julie A. Luster</td>
<td>Grants Manager, Controller’s Office, Rider University</td>
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#### 10:15 – 11:30 am | SPARK SESSIONS

<table>
<thead>
<tr>
<th>10:15 – 10:35 am</th>
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<tbody>
<tr>
<td><strong>THE INNOVATION LANDSCAPE</strong></td>
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<tr>
<td>Sandeep Sandy Muju*</td>
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<table>
<thead>
<tr>
<th>10:45 – 11:05 am</th>
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<tbody>
<tr>
<td><strong>3 TOOLS FOR SUCCESS WITH NON-U.S. ACCOUNTING</strong></td>
</tr>
<tr>
<td>Angela Zeno*</td>
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<th>11:15 – 11:30 am</th>
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<tbody>
<tr>
<td><strong>INDIRECT COST RATES – A NON-PROFIT PERSPECTIVE</strong></td>
</tr>
<tr>
<td>Alex P. Weekes*</td>
</tr>
</tbody>
</table>

* Lead faculty
AGENDA

Sunday, March 12, 2017

11:30 AM – 1:00 PM   •   NETWORKING LUNCHEON

1:00 – 2:15 pm | CONCURRENT SESSIONS

This session may also be of interest to participants in the following areas: Compliance, Sponsored Project Accounting

MANAGING MULTI-COMPONENT RESEARCH PROJECTS FROM PROPOSAL TO AWARD CLOSEOUT
Participants will gain an understanding and an update on how to prepare proposals for large cooperative agreements requiring coordination with sub-recipient. Participants will get an overview of Post-Award management of NIH major projects from a research department’s perspective.

(TAGS: Budgeting/Forecasting; Non-financial Post-Award; Process Improvement)

LEARNING OBJECTIVES
• Participants will learn how to identify and communicate standard and unique requirements in the FOA (Funding Opportunity Announcement).
• Participants will learn how to plan and create the proposal with multiple sub-recipients.
• Participants will learn how to establish set-up of the prime award and issue sub-recipient awards.
• Participants will be able to coordinate day to day operations with internal and external stakeholders.
• Participants will learn how to address unexpected issues (e.g. PI change, non-performance of sub-recipients, re-budgeting requests).
• Participants will be able to identify responsibilities if you are a sub-recipient.

PREREQUISITE: Participants should have knowledge and experience with Pre-Award and Post-Award management.

Kathleen M. Kreidler, Associate Vice President, Sponsored Projects Administration, University of Texas Health Science Center at Houston

This session may also be of interest to participants in the following area: Departmental

WHAT IN THE WORLD IS THAT RESEARCH ADMINISTRATOR SAYING? COMMUNICATING CLEARLY AND CONCISELY
Have you ever had a conversation with a PI during which they gave you a totally blank look of incomprehension? Are you a department administrator dealing with staff in a central office and they often have no clue what you’re referring to, or why? Or maybe you’re central staff communicating with a new department administrator? Or your own new staff? Or with someone who’s counting the days until retirement? It’s called “the look,” and we all get it from someone at some point during our career, sometimes often. If you get “the look” too often from a stakeholder, you may lose their attention for the conversation or sometimes permanently. This session will help attendees understand why they’re getting “the look,” what they can do to change “the look” to comprehension, and how to not get “the look” during work conversations.

(TAG: Career Development)
This session may also be of interest to participants in the following areas: Compliance, Departmental

**AN INTERNATIONAL PERSPECTIVE ON DEVELOPING AN INFRASTRUCTURE TO MANAGE AWARDS**

An important step in international collaboration is stepping outside of your day-to-day mindset and trying to walk in the shoes of colleagues who work under different laws, institutional models, infrastructure, and levels of resources. Often the most effective approach is the most collaborative approach, especially with longstanding partner institutions who have worked together for decades. This session will include Research Administrators from three institutions who have embarked on a process to understand their respective International Collaborators, build bridges in gaps of knowledge and help each other find the right model for grants management in a “one size doesn’t fit all” world. The session will allow for discussion of real world problems that leap beyond exchanges of audit reports and invoices.

(Tag: Federal Regulation; Infrastructure Development; Policy Development)

**LEARNING OBJECTIVES**

- Participants will discuss and understand approaches to international collaboration and subrecipient relationships.
- Participants will discuss and contribute examples of real challenges across the spectrum of institutional models.

**PREREQUISITE:** None

**Regnier A. Jurado**, Director, Research Management Solutions, Office of Research and Economic Development, Florida International University

**Georgina Lopez**, Director of Finance and Administration, ARI/GHIS/DEB, University of California, San Francisco

**Roberto M. Gutierrez**, Assistant Vice President for Research, Office of Research and Economic Development, Florida International University

**David Driesbach**, Assistant Vice President, Research, Office of Research and Economic Development, Florida International University

**UNDERSTANDING THE U.S. SUB-AWARD PROCESS**

Have you ever felt frustrated when working with international partners regarding terminology and agreements? Why are there so many forms to complete to participate in a sub-award? Why does their research office need so much information? How do we agree on governing law, indemnification, arbitration? This session will explain the US sub-award process from both an international institution perspective and the US institution requirements and relate it back to the relevant federal regulations when dealing with US Federal funds. The session will also discuss standard issues faced in sub-award agreements.

(Tag: Billing/Invoicing; Federal Regulation; Non-financial Post-Award)

**LEARNING OBJECTIVES**

Participants will learn about the sub-award process and explore case studies.

**PREREQUISITE:** None

**Julie Ward**, International Research Manager, Division of Research, The University of New South Wales

**Jill Frankenfield**, Associate Director, Office of Research Administration, University of Maryland, College Park

**Rebecca Hunsaker**, Director of Research Administration, University of Maryland, College Park

* Lead faculty
**LEARNING OBJECTIVES**

- Participants will learn to design and develop an effective impactful evaluation program.
- Participants will learn to increase leadership capacity among your research team through evaluation.
- Participants will learn to engage stakeholders and staff to make data driven program decisions.

**PREREQUISITE:** Participants should have a basic level of understanding of clinical research. This session will build on standard operating procedures and best practices.

**Maija Neville-Williams**, Administrative Director, Center for Basic and Translational Research on Disorders of the Digestive Systems (CDDS), Rockefeller University

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**FIXED PRICE VS. COST REIMBURSEMENT FOR THE PUI**

Under Uniform Guidance, grantees can choose to issue sub-awards using fixed price or cost reimbursement agreements. What are the differences between these two mechanisms and when does it make sense for a PUI to use one over the other? This session will explore the pros and cons of each for a PUI whether that PUI is the Prime or the Subrecipient.

**(TAGS: Budgeting/Forecasting; Non-financial Post-Award; Uniform Guidance)**

**LEARNING OBJECTIVES**

- Participants will understand the mechanisms of fixed price agreements and cost reimbursement agreements - when can they be used, what are the differences, how are they audited.
- Participants will review the pros and cons of a prime PUI issuing a subagreement of each type.
- Participants will review the pros and cons of a PUI receiving each type as a subrecipient.

**PREREQUISITE:** Participants should have some familiarity with subaward agreements.

**Jennifer Keller**, Contracts & Grants Administrator, Sponsored Programs, Auburn University
1:00 – 2:15 pm | CONCURRENT SESSIONS CONTINUED

Predominantly Undergraduate Institutions  ●  Program Level: Overview

**GETTING YOUR PUI READY FOR FEDERAL CONTRACTS**
This session will provide a basic overview of contracts and how they differ from grants and cooperative agreements. Special attention will be given to FAR/DFAR and problematic clauses that may require implementation of policies and or procedures not already in existence at a PUI.

*(TAGS: Federal Regulation; Policy Development)*

**LEARNING OBJECTIVES**
Participants should come away with a deeper understanding of the more complex issues associated with Federal contracts and problematic clauses that may prevent PUIs from accepting an award.

**PREREQUISITE:** Participants should have a general understanding of contracts. Prior exposure to Federal contracts are a plus, but not required.

David Schultz*, Director of Sponsored Programs Finance Administration, University of Louisiana at Lafayette  
Erika Blossom, Supervising Principal Contract & Grant Officer, Office of Research, University of California-Irvine  
Barbara E. DeHaven, Executive Director, Sponsored Research, Stevens Institute of Technology

**HOW TO KEEP THE CASH FLOWING**
This session will focus on the various issues encountered when sponsors fail to pay receivables. We will discuss issues such as increasing documentation required by poor communication to issues from just plain politics. In this group we will discuss the challenges and techniques that have been used to successfully get reimbursement for outstanding receivables.

*(TAGS: Billing/Invoicing; Reporting & Metrics)*

**LEARNING OBJECTIVES**
- Participants will discuss the common issues that will cause various agencies (NSF, NIH, DoD, etc.) to reject invoices.
- Participants will be able to identify the key components in invoicing from various sponsors.
- Participants will learn various techniques to manage receivables.

**PREREQUISITE:** None

Amy LaFevers*, Manager, Sponsored Programs Accounting & Compliance (SPAC), Division of Research, University of Maryland, College Park  
Marchon Jackson, Director of Finance and Administration, Sponsored Programs Accounting and Compliance, University of Maryland, College Park

**SUPPORTED PROJECT ACCOUNTING**
This session may also be of interest to participants in the following areas: Compliance

**HOW TO UTILIZE ELECTRONIC SYSTEMS FOR AUDIT DEFENSE & UG INTERNAL CONTROLS ACROSS THE LIFECYCLE OF AN AWARD**
Overview of how electronic systems are built and customized to protect the central office, investigators and institution from audit risks. This session will illustrate the different ways in which this is accomplished from the time of proposal submission through award closeout.

*(TAGS: Federal Regulation; Uniform Guidance)*

**LEARNING OBJECTIVES**
- Participants will learn to establish and implement systems that better shield the institution from audit risks.
- Participants will be able to strengthen internal controls to ensure potential audit risks are discovered and addressed proactively.
- Participants will be able to develop and customized electronic systems to support internal controls to ensure compliance with the Uniform Guidance.

**PREREQUISITE:** The target audience is Central Office Administrators.

Jamie Wilson*, Supervisor, Sponsored Programs Administration, University of Texas Southwestern Medical Center at Dallas  
Cheryl L. Anderson, Director, Office of Sponsored Programs Administration, The University of Texas Southwestern Medical Center

* Lead faculty
1:00 – 2:15 pm | CONCURRENT SESSIONS CONTINUED

Sponsored Project Accounting • Program Level: Advanced

LEARNING OBJECTIVES
• Participants will evaluate their current organizational structure.
• Participants will be able to determine how reorganization can facilitate a shift to a value-added rather than task-oriented process unit.
• Participants will understand the tools and resources needed to successfully implement organizational change.

PREREQUISITE: This session is recommended for organizational stakeholders and leaders who oversee teams. Participants should have a strong understanding of change management.

Sonia Singh*, Director, Huron Consulting Group
Mary Catherine "MC" Gaisbauer, Assistant Controller, Contracts & Grants Accounting, University of California, San Francisco
Ellyn McCaffrey, Compliance Manager, Contracts & Grants Accounting, University of California, San Francisco

Systems/Emerging Technologies • Program Level: Intermediate

LEARNING OBJECTIVES
• Participants will gain insight into how to define and implement matrix for each aspect of your research portfolio through dashboards.
• Participants will learn how to leverage analytic information to provide information in a timely manner to end users.
• Participants will learn what it takes to support an analytics system

PREREQUISITE: Participants should have a basic understanding of portfolio management using dashboards.

Steven Lichtenstein*, Director, Sponsored Research & Funds Administration, Cedars-Sinai Medical Center
Karim Mouflidi, Manager, Sponsored Research & Funds Administration, Cedars-Sinai Medical Center

This session may also be of interest to participants in the following areas: Systems/Emerging Technologies

DISCOVERING THE BEST ORGANIZATION MODEL AND HOW TO IMPLEMENT: THE PROCESS AT UCSF

This session will examine the critical importance of regularly evaluating the organizational structure, whether central or departmental, to ensure it aligns with the organizational goals, supports sponsored research growth and flexibility, enables customer service and provides opportunities for career growth. We will discuss how to evaluate the current organizational structure, identify the best model for your Institution and discuss how to implement and manage organizational change.

LEARNING OBJECTIVES
• Participants will evaluate their current organizational structure.
• Participants will be able to determine how reorganization can facilitate a shift to a value-added rather than task-oriented process unit.
• Participants will understand the tools and resources needed to successfully implement organizational change.

PREREQUISITE: This session is recommended for organizational stakeholders and leaders who oversee teams. Participants should have a strong understanding of change management.

Sonia Singh*, Director, Huron Consulting Group
Mary Catherine "MC" Gaisbauer, Assistant Controller, Contracts & Grants Accounting, University of California, San Francisco
Ellyn McCaffrey, Compliance Manager, Contracts & Grants Accounting, University of California, San Francisco

This session may also be of interest to participants in the following area: Sponsored Project Accounting

USING ANALYTICS TO MANAGE YOUR GRANTS MANAGEMENT BUSINESS FROM PROPOSAL TO SPACE

This will be a walkthrough of various dashboards that Cedars Sinai Medical Center uses to manage their grants management portfolio. We utilize this information for various measures that our faculty are held to such as how well they are doing in recovering indirect cost against how much space they have assigned to them, their success rates, and future funding potential.

(TAGS: Infrastructure Development; Process Improvement; Reporting & Metrics)
Sunday, March 12, 2017

**AGENDA**

1:00 – 2:15 pm | **DISCUSSION GROUPS**

### Compliance

This session may also be of interest to participants in the following areas: Sponsored Project Accounting, Systems/Emerging Technologies

**AN UPDATE ON NSF CASH MANAGEMENT**

This discussion will provide an overview of NSF’s Grants Awards Process and Cash Payment processes and procedures. We will provide participants with awardees responsibilities and common reasons for delays and detailed information on baseline monitoring activities.

*John Sholhead*, **Branch Chief, Cash Management, Division of Financial Management, National Science Foundation, Office of Budget, Finance and Award Management (BFA)**

*Mike Wetklow*, **Deputy CFO and Division Director, Division of Financial Management, National Science Foundation, Office of Budget, Finance and Award Management (BFA)**

*Chris Berner*, **Section Head, Grants Cash Management Section, Division of Financial Management, National Science Foundation, Office of Budget, Finance and Award Management (BFA)**

*Joe Kittle*, **Branch Chief, SBE/GEO and Grant Administration Branch, Division of Grants and Agreements, National Science Foundation, Office of Budget, Finance and Award Management (BFA)**

### Departmental

This session may also be of interest to participants in the following area: Human Capital

**EFFECTIVE COMMUNICATIONS**

We will discuss effective communication styles and define the meaning of professionalism. How can you adjust your communication style to your audience? Tips on how to elevate the level of professionalism in your organization will be shared. We will review the basic principles of professionalism: What does it mean? How do we best communicate with each other? When should we communicate with each other? What to do and what not to do? Bring your own positive experiences and challenges.

*Jennifer J. Cory Doeschot*, **Director of Research Administration, Department of Pediatrics, Stanford University**

### Human Capital

**WORKING ACROSS GENERATIONS**

This discussion group will center on how each generation works, why they do what they do and how can we work with them? Bring some questions, and maybe it will provide us with an ability to understand why you do things that way? Every office is made up of different generations and we all have to try to understand what motivates us. To do this only helps to make an office work smoothly and successfully.

*Dennis J. Paffrath*, **Assistant Vice President for Sponsored Programs Administration, University of Maryland, Baltimore**

*Lori Ann M. Schultz*, **Senior Director, Research Partnership Services, University of Arizona**

### Sponsored Project Accounting

This session may also be of interest to participants in the following area: Systems/Emerging Technologies

**INDIRECT COST RATE NEGOTIATION**

F&A rate proposal reviews and rate negotiations with Federal representatives are complex processes and can be intimidating. We will discuss the main review areas and the issues frequently raised in the negotiation of rates, including space surveys, the organized research base and the F&A cost pools. More complex issues such as those related to rate projections will also be discussed.

*Cynthia Hope*, **Assistant Vice President for Research & Director of Sponsored Programs, The University of Alabama**

*Gary Talesnik*, **Special Consultant, Attain, LLC**

*Hank Kirschenmann*, **Senior Manager, Attain, LLC**

* Lead faculty
Sunday, March 12, 2017 AGENDA

1:00 – 2:15 pm | DISCUSSION GROUPS

Systems/Emerging Technologies

This session may also be of interest to participants in the following area: Departmental

DATA: DON'T LET IT BE JUST A 4 LETTER WORD
This session will discuss strategies for using data effectively to communicate and make better decisions. The difference between reporting and analytics will be discussed. Tips and tricks will be shared on how to better use your institutional data.

1:00 – 2:15 pm | SPARK SESSIONS

1:00 – 1:20 pm

TACKLING TRAVEL: BUDGETING AND CHARGING TRAVEL EXPENSES WITH SAVVY

Megan Dietrich*, Team Lead, Engineering Research Administration, Stanford University

1:30 – 1:50 pm

GRANT FINANCIAL CONTROLS AND INSTITUTIONAL INFRASTRUCTURE – WHO'S VERIFYING WHAT?

Jason Guilbeault *, Director, Post-Award Services, Augusta University

2:00 – 2:15 pm

THE AWARD IS IN! WHAT DO I DO?

Chrissa Papaioannou*, Senior Director of Research Administration, Stevens Institute of Technology

2:15 – 2:45 PM • NETWORKING AND REFRESHMENT BREAK

2:45 – 3:45 pm | CONCURRENT SESSIONS

Compliance • Program Level: Basic

LEARNING OBJECTIVES

- Participants will have a fundamental understanding of the NSF audit resolution process, including the roles and responsibilities of the auditor, auditee, and audit resolution official.
- Participants will gain an understanding of how NSF assess risk to determine its oversight activities.
- Participants will have a better understanding of the non-compliances most frequently identified during NSF reviews.

PREREQUISITE: None

Rochelle Ray*, Team Lead Audit Resolution, Resolution and Advanced Monitoring Branch, National Science Foundation

(TAGS: Federal Regulation; Policy Development; Uniform Guidance)
**AGENDA**

### 2:45 – 3:45 pm | CONCURRENT SESSIONS CONTINUED

#### Compliance  ●  Program Level: Overview

**SUBRECIPIENT MONITORING UNDER THE UNIFORM GUIDANCE**

Subrecipient Monitoring can be a complex, shared responsibility that begins at the time of proposal development and extends throughout the life of the subaward. What can you do if you are at a PUI and tasked with doing everything? Through discussion and case studies this session will focus on sharing approaches, strategies and practical guidance in areas of Pre-Award risk analysis, as well as Post-Award monitoring.

*(TAGS: Non-financial Post-Award; Policy Development; Process Improvement)*

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<thead>
<tr>
<th>LEARNING OBJECTIVES</th>
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<tbody>
<tr>
<td>• Participants will have a better understanding of subrecipient monitoring responsibilities.</td>
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<td>• Participants will learn strategies for addressing day-to-day monitoring issues.</td>
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**PREREQUISITE:** None

**Michiko Taniguchi Pane**, Director, Pre-Award Operations, Stanford University  
**Sherrie Dennehy**, Principal Contract and Grant Officer, Department of Contracts and Grants, University of Southern California

#### Departmental  ●  Program Level: Basic

This session may also be of interest to participants in the following areas: Compliance, Sponsored Project Accounting

**THERE ARE ZERO SHADES OF GRAY IN COMPLIANCE: COULD YOUR DEPARTMENT BE AT RISK?**

Research administration is not just 50 shades of gray... It's 150! We can all read something and depending on your role, have different interpretations. Come join us as we discuss some of the potential ethical issues department administrators face that force them to balance getting the job done with being compliant. This session will address the key risks in proposal development, award acceptance, award administration and financial management at the departmental level that potentially cause compliance issues.

*(TAGS: Industry Sponsored Research; Non-financial Post-Award; Policy Development)*

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<th>LEARNING OBJECTIVES</th>
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<tr>
<td>• Participants will learn how to adhere to sponsor requirements while following their institution’s policies.</td>
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<td>• Participants will examine some problematic terms and conditions sponsors may have that could be a compliance risk.</td>
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<tr>
<td>• Participants will discuss how the management of an award could present compliance risks for the institution.</td>
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**PREREQUISITE:** None

**Danielle Brown**, Assistant Director, Sponsored Programs Administration, University of Maryland, Baltimore  
**Tolise Dailey**, Training Development Specialist, Office of Contracts and Grants, University of Colorado at Boulder

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* Lead faculty
2:45 – 3:45 pm | CONCURRENT SESSIONS CONTINUED

**OVERCOMING FIVE DYSFUNCTIONS OF A DEPARTMENTAL TEAM**

This session may also be of interest to participants in the following area: Human Capital

We work on multiple teams each day and sometimes we find ourselves leading a dysfunctional team. Leveraging information from the book “Five Dysfunctions of a Team” by Patrick Lencioni this presentation will be one that you want to attend to learn what you can do to get dysfunctions out of your team. Using real-life experiences the presenters will provide tools that will help you improve productivity, employee engagement and overall success by identifying and working through team dysfunctions.

**LEARNING OBJECTIVES**
- Participants will be able to identify characteristics of a dysfunctional team.
- Participants will be able to define what and/or who makes up a team.
- Participants will be able to identify the five elements of a dysfunctional team:
  - Absence of Trust
  - Fear of Conflict
  - Lack of Commitment
  - Avoidance of Accountability
  - Inattention to Results
- Participants will obtain tools for raising awareness and overcoming the dysfunctions.

**PREREQUISITE:** Participants should have experience leading teams and awareness of the challenges that leaders can face in getting teams to be productive and operational.

* Faith Goenner*, Administrative & Finance Director, Department of Computer Science & Engineering, University of Minnesota
Jennifer LaFrance, Finance Manager, Finance Department, University of Minnesota-Twin Cities

**LIFE LESSONS IN PERSUASION AND POSITIVE THINKING FOR THE RESEARCH ADMINISTRATOR**

Being persuasive can produce positive results. Developing the skill of persuasion is often an overlooked skill in professional development. This session will talk about the basics of persuasion and how using basic techniques such as a positive attitude can help you achieve the positive results you want out of life. The panel will discuss tips, tricks and life lessons that have help them advance their career in Research Administration.

**LEARNING OBJECTIVES**
- Participants will learn how to deliver a focused message that is convincing.
- Participants will learn how to demonstrate benefit to your audience.
- Participants will gain confidence and become your own biggest advocate and self promoter.
- Participants will learn how to reach out to and recruit mentors that will help you change your life.

**PREREQUISITE:** None

* Anita Mills*, Senior Solutions Consultant, Evisions, Inc.
David Schultz, Director of Sponsored Programs Finance Administration, University of Louisiana at Lafayette
## AGENDA

**Sunday, March 12, 2017**

### 2:45 – 3:45 pm | CONCURRENT SESSIONS CONTINUED

**International**

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<th>Program Level: Overview</th>
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This session may also be of interest to participants in the following areas: Compliance, Systems/Emerging Technologies

**EXPORT CONTROLS FOR THE FINANCIAL RESEARCH ADMINISTRATOR. YES, THIS AFFECTS YOU, TOO!**

Ensuring institutional compliance with the export regulations has become a priority for many institutions. It has been said that it takes a “village” to manage export controls - no one person can do it all! We all must work together to ensure export control compliance. This session will provide an overview of the export regulations and practical information and examples that relate to the job duties of the financial Research Administrator.

*(TAGS: Federal Regulation; Non-financial Post-Award; Policy Development)*

**LEARNING OBJECTIVES**

- Participants will recognize the regulations of three main agencies that affect export compliance at universities.
- Participants will understand how the export control regulations pertain to their job duties; including,
  - Communication procedures between the Pre-Award and Post-Award areas about export controlled projects
  - Procedures for screening foreign visitors and hiring non-U.S. citizens
  - Setting up accounts that are related to export controlled projects
  - Procedures for vendor screenings and payments
  - Procedures for the approval of foreign travel and reimbursement of expenses.

**PREREQUISITE:** None

**Kay Ellis**, Director, University Export Control Program, University of Arizona

**Dava Casoni**, Contracts and Compliance Advisor, University of Southern California Institute for Creative Technologies

**Medical/ Hospital**

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This session may also be of interest to participants in the following areas: Departmental, Human Capital

**BUILDING A SUSTAINABLE CLINICAL RESEARCH PROGRAM USING LEAN PRINCIPLES**

Academic health centers continue to assess, change, and improve clinical Research Administration to advance science and better serve patients nationwide. In recent years, clinical trials offices (CTOs) have emerged within the academic health center research infrastructure to consolidate administrative activities related to clinical trials -from protocol development to billing compliance- and thus enhance institutional research capabilities. Management of clinical trial operations, viewed as critical to the sustainability and growth of the research enterprise, is among the challenging tasks for academic health center administrators because of the multitude of regulatory requirements and administrative procedures that must be addressed before, during, and after a clinical trial takes place.

In addition, the life cycle of a clinical research project involves stakeholders from different realms of academic health center administration who possess various skills and knowledge about clinical research or business functions.

*(TAG: Process Improvement)*

**LEARNING OBJECTIVES**

- Participants will be able to identify stakeholders links and interrelated disparate functions. Operations need to be harmonized in a rational and effective infrastructure.
- Participants will be able identify stakeholders at each stage of the life cycle of a clinical research project.

**PREREQUISITE:** None

**Carlos De La Peña**, Executive Director, Institute of Translational Health Sciences, University of Washington
2:45 – 3:45 pm | CONCURRENT SESSIONS CONTINUED

Medical/ Hospital | Program Level: Advanced

Clinical Research Budgeting for Success
Quicken won’t help you here...and if you are accepting the Sponsor’s budget as is, you are leaving a lot of money on the table! The key is knowing what clinical research TRULY costs at your institution and determining how close you can get to covering those costs, and creating a buffer for those costs you didn’t anticipate.

(TAGS: Budgeting/Forecasting; Clinical Trials/Clinical Research; Industry Sponsored Research)

LEARNING OBJECTIVES
- Participants will learn key differences between clinical trial and grant budgets.
- Participants will learn how to determine your TRUE Costs.
- Participants will learn how to use software to streamline and standardize your budgeting processes.
- Participants will discuss how to prevent compliance challenges related to price variability.
- Participants will be able to calculate the ROI for that important protocol that your PI can’t live without.

PREREQUISITE: Participants should have a basic understanding of clinical trials and the process of study start-up as well the distinctions between the types of clinical research beyond clinical trials.

Allecia A. Harley*, Associate Vice President, Clinical Research Administration, Office of Research Affairs, Rush University Medical Center
Karen Roz, Director, Office of Research Administration, Clinical Research, Johns Hopkins University School of Medicine

Sponsored Project Accounting

This session may also be of interest to participants in the following area: Departmental

Communicating with Faculty About Compensation Charges: Easy as a San Diego Ocean Breeze!
Oh...effort reporting! Seemingly so simple in concept, but many of us know that this exercise can become a bureaucratic nightmare. Then there is the wrath from faculty, who are often skeptical and confused about traditional effort reporting. As researcher administrators, we have the collective knowledge to help faculty comprehend traditional effort reporting, but could we simplify the process even more if we took an alternative approach to the documentation of personnel costs? With the Uniform Guidance in place, we now have that opportunity! This session will help research administrators break down traditional effort reporting in an understandable way, and also provide some “food for thought” on potential alternative approaches which can sometimes be easier to communicate than traditional effort reporting. As easy as the beautiful ocean breeze in San Diego!

(TAG: Reporting & Metrics)

LEARNING OBJECTIVES:
Participants will gain knowledge and strategies to address questions and challenges raised by faculty on effort reporting and the documentation of personnel costs.

PREREQUISITE: Participants will need working knowledge of traditional effort reporting practices in addition to knowledge of the changes to the documentation of personnel costs via section 200.430 of the Uniform Guidance.

David Ngo*, Vice President & Chief Operating Officer, BOBD Consulting Group
Ashley Elizabeth Whitaker, Associate Director, Office of Sponsored Programs, Nova Southeastern University
Elena Cruse, Financial Business Manager, Financial Services, Kansas University Medical Center

* Lead faculty
## 2:45 – 3:45 pm | CONCURRENT SESSIONS CONTINUED

### Systems/Emerging Technologies | Program Level: Advanced

This session may also be of interest to participants in the following area: Departmental

**DATA, DATA, DATA...DATABASES, DATA WAREHOUSES, DATA ANALYTICS!**

Most universities have invested in electronic research administrative software packages that handle a variety of Pre/Post-Award activities as well as many of our compliance needs. Senior administrative officers at colleges and universities are moving beyond “a list of” and are now trying to better analyze the data captured in these systems. How do you leverage your data warehouse for these complex reporting needs? What keys might you need to unlock data from other systems? How do you move beyond “a list of” into the world of data analytics to make strategic decisions at your institution? How might some of these tools help you survive an NSF Data Analytic audit?

(TAGS: Budgeting/Forecasting; Infrastructure Development; Process Improvement)

### LEARNING OBJECTIVES

- Participants will have a better understanding of how to turn lists of information into graphical presentations to help visualize the data at various levels within the organization.
- Participants will have examples of external facing information that is valuable to colleges and departments as well as internal metrics to assess the back-office transactions performed by the Central Research Administrative staff and functions.

**PREREQUISITE:** Participants should have a strong understanding of the linkages of the research portfolio (proposals, award, expenditures, and sub-awards) and how the data within these various domains intersect with each other for reporting needs.

**Stephen D. Dowdy***, Director, Research Systems and Integration, University of Maryland, College Park

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### Systems/Emerging Technologies | Program Level: Intermediate

This session may also be of interest to participants in the following areas: Departmental, Sponsored Project Accounting

**SERVICE CENTERS – DATA NEEDS AND IMPACTS ON OTHER OPERATIONS**

Have you ever needed information and asked yourself, “Where and from whom can I get this information?” Have you ever tried to reconcile data from two different sources and found, SURPRISE, the data doesn’t reconcile? Have you ever wondered about other applications that may be needing and/or collecting the same data? This session will focus on both service centers and the institutional F&A proposal and examine the data they need to put together rates, where that data may already exist and how much of the service center data may lend itself to the F&A proposal data needs as well as other applications. We’ll also look at potential audit implications around service center data including data requests related to the F&A proposal.

(TAGS: Billing/Invoicing; Federal Regulation; Policy Development)

### LEARNING OBJECTIVES

- Participants will be provided with a perspective, beyond just service center needs, of the various implications, opportunities and institutional expectations related to the data required for and collected by service centers and how it relates to other institutional systems, especially the institution’s F&A rate development.

**PREREQUISITE:** Participants should have good working knowledge of service center accounting and rate setting requirements and methodologies as well as federal, state and local government compliance regulations related to same. Knowledge of F&A proposal and rate development requirements, institutional accounting and asset management systems, and HR/Payroll systems will be valuable.

**Michael Anthony***, Executive Director, Management Accounting and Analysis, University of Washington

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* Lead faculty
Sunday, March 12, 2017

AGENDA

2:45 – 3:45 pm | DISCUSSION GROUPS

Compliance

Elvie Mahoney*, Audit Services Manager, Audit Division, Massachusetts Institute of Technology

INTERNAL AUDIT’S ROLE IN EVALUATING RESEARCH ADMINISTRATION COMPLIANCE

Internal audit’s role in compliance monitoring and the impact of changes from Uniform Guidance, how data analytics are used to identify potential non-compliance and training needs within the departments, and how MIT senior management are involved in compliance efforts.

Human Capital

Samuel Gannon*, Manager, Education & Training, Vanderbilt University Medical Center

SUPERCHARGE YOUR TEAM WITH INTERPROFESSIONAL COLLABORATIVE PRACTICE ACTIVITIES

We all want to be good team players and be part of a good team. Interprofessional Collaborative Practice (ICP) is all about providing professionals from different backgrounds and areas of expertise with the tools so that participants will discuss the process of team development and the roles and practices of effective teams. We will tackle strategies that they can implement to build effective teams. The discussion will include applying leadership practices to support collaborative practice and team effectiveness and how to engage others in shared problem-solving.

International

Jill Mortali*, Director, The Office of Sponsored Projects, Dartmouth College
Regnier A. Jurado, Director, Research Management Solutions, Florida International University
Georgina Lopez, Director of Finance and Administration, ARI/GHS/DEB, University of California, San Francisco

PROFESSIONAL DEVELOPMENT OPPORTUNITIES FOR RESEARCH ADMINISTRATORS IN THE INTERNATIONAL ARENA

Join a panel of Research Administrators for a highly interactive discussion of opportunities for those who are interested in developing skills and a career path in managing international programs. The panel, along with the audience will be invited to share experiences and resources for administrators who are interested in developing technical knowledge and skills including: Institutional roles that allow development of international expertise; Global Operations – professional development opportunities both at your local institution as well as managing operations in foreign locations; Resources and learning opportunities for developing skills regarding international programs; Evaluating your own skills and current position to develop a career path; Becoming an institutional expert/leader in international programs; Critical skills and core competencies *Lessons learned, successes and failures.

* Lead faculty
2:45 – 3:45 pm | **DISCUSSION GROUPS CONTINUED**

**Medical/ Hospital**

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<th>Time</th>
<th>Discussion Group</th>
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<tr>
<td>2:45 – 3:45 pm</td>
<td><strong>TIPS FOR SUPPORTING CLINICAL RESEARCH FACULTY</strong></td>
<td><strong>Elizabeth Lynn Brant</strong>, Associate Director of Post-Award, University of Michigan</td>
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<td></td>
<td>Contributions to medical knowledge through clinical research are invaluable, but, conducting clinical research can be a highly complex endeavor. Join a group of Research Administrators who relish such a challenge to collaborate and commiserate. This discussion group will provide strategies and tips for enticing faculty to make the leap into clinical research, successfully manage research projects and financials, and achieve the right balance between clinical practice and clinical research responsibilities. Although clinical research can be challenging it can also be rewarding to everyone involved – faculty included!</td>
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**Predominantly Undergraduate Institutions**

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<tr>
<td>2:45 – 3:45 pm</td>
<td><strong>USING YOUR F&amp;A PROPOSAL FOR FINANCIAL AND SPACE STRATEGIC PLANNING</strong></td>
<td><strong>Mira Levine</strong>, Manager, MAXIMUS</td>
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<td></td>
<td>This discussion group is designed to help understand the relationships between research financial and space data and its effect on the university financials and strategic planning. We will demonstrate how the Facilities &amp; Administrative Rate Calculation (F&amp;A) can be an effective tool in determining the cost and benefit of research by developing a Research Profit &amp; Loss (P&amp;L) statement. We will also use the F&amp;A financial and space data in CRIS (Comprehensive Rate Information System) to assess the cost effectiveness of your research space. We will provide the methodology of our approach and sample calculations.</td>
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2:45 – 3:05 pm | **SPARK SESSIONS**

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<th>Discussion Group</th>
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<tr>
<td>2:45 – 3:05 pm</td>
<td><strong>WRITING FOR NCURA MAGAZINE</strong></td>
<td><strong>Rosemary E. Madnick</strong>, Executive Director, Office of Grants and Contracts Administration, University of Alaska, Fairbanks</td>
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<td>3:15 – 3:35 pm</td>
<td><strong>INTERNATIONAL CONTRACTING – A CRITICAL COMPONENT OF COLLABORATION</strong></td>
<td><strong>James J. Casey, Jr.</strong>, Director, Office of Sponsored Programs, American University</td>
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3:45 – 4:00 PM | **NETWORKING AND REFRESHMENT BREAK**
This session may also be of interest to participants in the following areas: Departmental, Sponsored Project Accounting

**SUBRECIPIENT MONITORING PANEL DISCUSSION**

This is a panel discussion on subrecipient monitoring and how universities are managing the UG requirements of annual assessments of all subrecipient organizations, monitoring of subrecipients by PI’s, invoice review, approval and payment. Our panel will be made up of three universities: Harvard University, UCLA, and Thomas Jefferson University.

(TAGS: Billing/Invoicing; Policy Development; Uniform Guidance)

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This session may also be of interest to participants in the following areas: Compliance, Sponsored Project Accounting

**LABOR RATES AND BUDGETING: FLSA AND MINIMUM WAGE INCREASES AND THE IMPACT ON THE INSTITUTION**

This session will be a panel discussion comprised of a number of Departmental and Central Research Administrators who will discuss the impact that the new FLSA wage limit, as well as the current stay and pending court case, has had on the research communities within their organizations.

(TAGS: Budgeting/Forecasting; Federal Regulation; Policy Development)
## AGENDA

**Sunday, March 12, 2017**

### 4:00 – 5:00 pm | CONCURRENT SESSIONS CONTINUED

#### Federal

**CLOSEOUT PROCEDURES UNDER THE UNIFORM GUIDANCE**

Participants will learn procedures to ensure timely and accurate award closeout and project cost center inactivation. We will identify ways to accomplish these tasks while maintaining compliance with applicable laws and guidelines from the sponsoring agency and the University policy as a whole. Unless the sponsor authorizes an extension, the University must liquidate all obligations incurred under the Federal award no later than 90 calendar days after the end date of the period of performance as specified in the terms and conditions of the Federal award (Uniform Guidance 200.343 - Closeout).

(TAGS: Policy Development; Process Improvement; Uniform Guidance)

#### LEARNING OBJECTIVES

- Participants will be able to identify how the areas of closeout.
- Participants will gain an understanding of closeout standards and best practices.

**PREREQUISITE:** Participants should have a basic understanding of closeout basics in a sponsored projects enterprise environment.

**Rosemary E. Madnick**, Executive Director, Office of Grants and Contracts Administration, University of Alaska Fairbanks  
**Maria Diaz-Romero**, Contract and Grant Officer, University of California, Irvine

#### Human Capital

**This session may also be of interest to participants in the following areas:** Departmental, Systems/Emerging Technologies

**PRACTICAL TOOLS AND APPROACHES FOR PROCESS REDESIGN**

Organizational change management often focuses heavily on leading people through the emotional aspects of change. However, to best meet the evolving needs of an organization, successful change requires and relies on process-oriented activity such as information gathering from users and constituents, business needs assessment, effective utilization of metrics, and procedure and evaluation methodology and mechanisms. In this session, the presenters will share ways to make change easier by using practical tools to approach these aspects of problem identification, root cause analysis, and solution design. This session will provide a sampling and discussion of such tools and how they can be used practically to improve process redesign.

(TAG: Process Improvement)

#### LEARNING OBJECTIVES

- Participants will understand the key components of ICP.
- Participants will be able to complete an IPC self-assessment.
- Participants will be able to target areas for improvement based on their self-assessment.
- Participants will make an action plan to improve the ICP.
- Participants will have the tools to implement their ICP action plans.

**PREREQUISITE:** None

**Samuel Gannon**, Manager, Education & Training, Vanderbilt University Medical Center
### Concurrent Sessions Continued

#### Operational Issues for Operating in an International Site
This session will focus on and describe specific areas of operational risk and practical solutions in non-US projects, including tax law, visas, health professionals licensure, personnel selection and management, currency devaluation, procurement, human subjects research and academic freedom issues.

(TEMS: Clinical Trials/Clinical Research; Federal Regulation)

**LEARNING OBJECTIVES**
- Participants will understand specific risk areas in international projects.
- Participants will understand how to implement risk management strategies in these projects.

**PREREQUISITE:** None

Mary Veazie*, Executive Director, Clinical Research Finance, University of Texas M.D. Anderson Cancer Center

#### What You Need to Know: Clinical Research Revenue Cycle Management (From Budgeting to 3rd Rejections)
This session will give you an overview and a deep dive into the full fiscal management of clinical trials. We will use examples to illustrate issues and identify potential solutions. From the initial costs that are related to study personnel, clinical procedures to the tracking of fiscal performance and final evaluation of a study’s financial performance, the session aims to provide a full picture of the budgeting and fiscal management of clinical trials, especially industry-sponsored clinical trials.

(TEMS: Billing/Invoicing; Budgeting/Forecasting)

**LEARNING OBJECTIVES**
- Participants will be able to identify the various types of costs incurred by a clinical trial.
- Participants will discuss the common budget elements of a clinical trial.
- Participants will be able to identify the necessary elements to calculate the profit/loss of a clinical trial.
- Participants will discuss typical negotiating points for a clinical trial budget.

**PREREQUISITE:** Participants should have a minimum of 2-3 years of clinical trial budgeting and financial management experience required.

Yi Zhang*, Assistant Dean for Clinical Trials, School of Medicine, Washington University School of Medicine

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* Lead faculty
4:00 – 5:00 pm  |  CONCURRENT SESSIONS CONTINUED

Sponsored Project Accounting  |  Program Level: Intermediate

**LEARNING OBJECTIVES**
- Participants will be able to communicate why F&A rate is important.
- Participants will be able to denote factors which impact the F&A rates at their institution.
- Participants will be able to strategize the negotiation of F&A rates.
- Participants will be able to identify policy impacts on indirect and direct costs.

**PRE REQUISITE:** Participants should have a basic understanding of F&A rates.

**Anne Feuerborn**, Senior Manager, MAXIMUS
**Deborah Shaver**, Director, Office for Sponsored Programs, University of Idaho

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Sponsored Project Accounting  |  Program Level: Overview

**LEARNING OBJECTIVES**
- Participants will have a better understanding of the key changes in the 2016 Compliance Supplement and how the changes may affect your compliance infrastructure.
- Participants will learn about some of the issues that other universities have experienced during their most recent Single Audit.

**PRE REQUISITE:** None

**Jason Guilbeault**, Director, Post-Award Services, Augusta University

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Systems/Emerging Technologies  |  Program Level: Intermediate

**LEARNING OBJECTIVES**
- Participants will be able to identify major pitfalls in implementing technology solutions.
- Participants will be able to identify strategies for success.
- Participants will learn tips/tricks that they can consider when looking to implement a new solution.

**PRE REQUISITE:** Participants should be considering implementation of or serving on an implementation of new technologies in their organization.

**Joshua Kasper**, Director, Clinical Research & Decision Support, Office of Sponsored Research, Joslin Diabetes Center
**Andrea Comley**, Director of Implementation and Training, IT Works
This session may also be of interest to participants in the following areas: Departmental, Sponsored Project Accounting

**MANAGING PROJECT CLOSEOUT EFFECTIVELY**

Project closeout is the last step of the grants life cycle. A thorough and efficient closeout of a sponsored project is essential to ensure all award requirements have been met. The consequences of an inaccurate closeout can be costly. This discussion session will provide an opportunity for the participants to share best practices when completing a project closeout. We will also discuss the challenges and share possible resolutions from the department and central perspectives.

**Deborah Cundiff**, Business Administrator, Northwestern University  
**Hillary Sparks**, Business Administrator, Mechanical Engineering, McCormick School of Engineering, Northwestern University  
**Elizabette Rischall**, Senior Grant and Contract Financial Administrator, Accounting Services for Research and Sponsored Programs, Northwestern University

**OVERCOMING FIVE DYSFUNCTIONS OF A DEPARTMENTAL TEAM (FOLLOW-UP TO CONCURRENT SESSION HELD AT 2:45 PM)**

We work on multiple teams each day and we know that some have dysfunctions but what can we do about it? Leveraging information from the book “Five Dysfunctions of a Team” by Patrick Lencioni this discussion group following the presentation will allow us to go deeper into the real-life scenarios, leverage shared knowledge for overcoming the dysfunctions and share stories.

**Faith Goenner***, Administrative & Finance Director, Department of Computer Science & Engineering, University of Minnesota  
**Jennifer LaFrance**, Finance Manager, Finance Department, University of Minnesota-Twin Cities

**BALANCING CUSTOMER SERVICE WHILE MAINTAINING COMPLIANCE AT A PUI**

PIs don’t have as robust an appreciation of the need to closely follow regulations as do staff in the research, procurement, HR, and business offices. PIs (rightly) want to focus on implementing their project, not on completing reams of paperwork. The absolute worst possible consequence of having an overabundance of red tape -- in the name of compliance -- is for PIs to give up and opt out of grant-seeking. At PUs many faculty can “opt out,” so how do we keep them enthusiastic and engaged in grant-seeking, while ensuring we are compliant with all applicable regulations? How do we meet their needs when they don’t always mesh with our need to ensure a culture of compliance?

**Carolyn Elliott-Farino**, Executive Director, Office of Research, Kennesaw State University

* Lead faculty
Sunday, March 12, 2017  AGENDA

4:00 – 5:00 pm | DISCUSSION GROUPS CONTINUED

Sponsored Project Accounting

This session may also be of interest to participants in the following area: Compliance

CONDUCTING SPACE SURVEYS FOR THE F&A RATE PROPOSAL
Given the cap on the Administrative portion of the F&A rate, the only area for growth in an institution’s F&A rate is through the Facilities portion. The functional coding of space, which is the primary driver for four of the five facilities cost pools, has a significant impact on the ultimate rate calculation and negotiation. This discussion session will focus on the actual implementation of a space survey through the stages of preparation, implementation, and analysis. This session will also cover alternatives to the space survey for allocating facility costs.

Michael Legrand*, Director, Research Accounting, University of California-Davis
Nick Schulte, Manager, Huron Consulting Group

4:00 – 4:20 pm

COLLABORATE: MAKING THE MOST OF NCURA’S PROFESSIONAL NETWORKING PLATFORM

Derick Jones*, Program Manager, The Institute for Translational Genomics and Population Sciences G.A.M.E. (Genetic and Molecular Epidemiology Institute), Los Angeles Biomedical Research Institute

4:30 – 4:50 pm

NEWBIES – THINGS I WISH I HAD KNOWN EARLIER

Barbara E. DeHaven*, Executive Director, Stevens Institute of Technology

4:00 – 5:00 pm | SPARK SESSIONS

4:00 – 4:20 pm

COLLABORATE: MAKING THE MOST OF NCURA’S PROFESSIONAL NETWORKING PLATFORM

Derick Jones*, Program Manager, The Institute for Translational Genomics and Population Sciences G.A.M.E. (Genetic and Molecular Epidemiology Institute), Los Angeles Biomedical Research Institute

4:30 – 4:50 pm

NEWBIES – THINGS I WISH I HAD KNOWN EARLIER

Barbara E. DeHaven*, Executive Director, Stevens Institute of Technology

6:00 PM  •  DINNER GROUPS

Experience local cuisine with old and new friends. Sign up near registration. (Cost of meal is not included in conference registration.)
6:15 – 7:15 am
NCURA FUN RUN AND POWER WALK
YOGA BLISS
Join NCURA’s Tara Bishop, Chopra Center Certified Yoga Instructor for a restorative practice. We will bring ourselves back to our natural state of balance and tap into the bliss of body, mind and spirit. Namaste

7:30 am – 3:45 pm
FRA CONCIERGE
PARTICIPANT MATERIALS PICK-UP
EXHIBITS OPEN
NSF CASH MANAGEMENT BOOTH
NCURA CONNECT
Visit NCURA Connect for all things NCURA! Learn about NCURA’s member benefits, check out information on all of the professional development opportunities, and discover the resources that NCURA provides. If you’re already an NCURA member, stop by to ensure you are getting the most out of your NCURA membership.

7:30 – 8:15 am
CONTINENTAL BREAKFAST and
BREAKFAST ROUNDTABLES
TIPS ON MANAGING WORK DAY INTERRUPTIONS
Dimitrios V. Pashos*, Senior Research Administrator, Department of Psychiatry, Brigham & Women’s Hospital
Lori Benjamin, Senior Research Administrator, The Wellman Center for Photomedicine, Massachusetts General Hospital

GAMIFYING THE RESEARCH ADMINISTRATION OFFICE
Justin Morgan*, Award Negotiator, Office of Sponsored Program, University of Illinois at Urbana-Champaign

INTERNAL CONTROLS FOR SPONSORED RESEARCH (SOX LITE)
Kimberly Ginn*, Director, Baker Tilly

BUDGETING: A CENTRAL FINANCE PERSPECTIVE
Mary Anne Hinkson*, Vice President, Research Operations, MedStar Health Research Institute

FACULTY TRAINING AND OUTREACH
Elena Glatman*, Director, Sponsored Projects Administration, University of Massachusetts Dartmouth

EFFORT REPORTING
Andres Chan*, Director, Office of Financial Analysis, University of Southern California

MANAGING STUDENT GRANT AWARDS
Jennifer Hawkins*, Department Administrator for the Vice Dean for Medical Education, School of Medicine, Case Western Reserve University

THE LIFE OF A UNIVERSITY ADMINISTRATOR IN A GOVERNMENT FACILITY
Venita Lowe*, Department Administrator, Research Department, Case Western Reserve University

* Lead faculty
ALTERNATIVES TO EFFORT REPORTING: DESIGN AND IMPLEMENTATION

The administrative burden placed on faculty and institutions performing research continues to be a major area of concern for the research enterprise at the federal and university level. Publications from the National Science Board (2014), National Academies of Sciences (2015), and the Federal Demonstration Partnership (Survey in 2005 and 2012) have reported or documented the extent in which the administrative burden placed on faculty can hinder the affordability and facilitation of science. One intent of the Uniform Guidance (2 CFR 200) was to address these burdens by streamlining policy requirements and focusing on research outcomes. Will universities adopt the changes available to them in the Uniform Guidance to help reduce research burden?

This session will discuss an NCURA funded research initiative to establish a national cohort of universities to develop a model policy alternative to “Effort Reporting” – often viewed as the most confusing and burdensome administrative task placed on faculty. An overview of the most common after-the-fact methodologies will be reviewed, as well as building an internal control framework around compensation and strategies for implementation.

(TAGS: Policy Development; Process Improvement; Uniform Guidance)

LEARNING OBJECTIVES

- Participants will gain a better understanding of alternatives to effort reporting.
- Participants will gain an increased awareness of balancing compliance and audit risk.
- Participants will gain strategies for successful internal controls processes.
- Participants will gain insights into the institutional decision making process for alleviating faculty administrative burden.

PREREQUISITE: Participants should have an understanding of traditional effort reporting and a concept of internal controls.

Lisa E. Mosley*, Assistant Vice President, Research Operations, Arizona State University
Jeremy A. Forsberg, Assistant Vice President of Research, Office of Research Administration, The University of Texas at Arlington
David Ngo, Vice President & Chief Operating Officer, BOBD Consulting Group

MULTI-PROJECT GRANTS MANAGEMENT

We will review best practices and tips to help you successfully manage multi-project grants, such as NIH PO1 and P50 mechanisms. Please bring your questions or tips to share with the group.

(TAGS: Federal Regulation; Non-financial Post-Award; Process Improvement)

LEARNING OBJECTIVES

Participants will learn best practices and tips to manage multi-project grants.

PREREQUISITE: Participants should have a basic understanding of multi-project grants management, such as NIH PO1 and P50 mechanisms.

Nancy A. Reidelberger*, Senior Research Administrator, Division of Oncology, Washington University in St. Louis
Cara Baczewski, Senior Grants Budget Specialist, Division of Oncology, Washington University in St. Louis
Julia Rodriguez, Certified Research Administrator, University of Missouri - Columbia

* Lead faculty
8:15 – 9:45 am | CONCURRENT SESSIONS CONTINUED

Federal | Program Level: Update

RESEARCH TERMS AND CONDITIONS: STATUS OF FEDERAL-WIDE INITIATIVE
This session will provide an update to the status of the multi-agency Research Terms and Conditions which implement the Uniform Guidance. We will take a deep dive into implementation of the Uniform Guidance.

(TAGS: Federal Regulation; Uniform Guidance)

LEARNING OBJECTIVES
Participants will learn about the current status and implementation plan for the federal-wide terms and conditions.

PREREQUISITE: Participants should have a basic knowledge of the Uniform Guidance.

Jean Feldman*, Head, Policy Office, Division of Institution and Award Support, Office of Budget, Finance, and Award Management, National Science Foundation
Michelle Bulls, Director, Office of Policy for Extramural Research Administration, National Institutes of Health (presenting virtually)

Human Capital | Program Level: Overview

MANAGING UP WITH EMOTIONAL INTELLIGENCE
No matter where we are in the institutional hierarchy, we all have a boss. Those who have moved up the career ladder know the importance of managing that boss, of “managing up”. We will dispel the belief that “managing up” equates to “sucking up”. This session will dive into the basic concepts of Emotional Intelligence and will explore how to apply them to managing those above you in the hierarchy.

(TAG: Career Development)

LEARNING OBJECTIVES
• Participants will understand the basic concepts of Emotional Intelligence (EI), related to both personal and social competence.
• Participants will learn how to apply EI concepts in managing up.

PREREQUISITE: None

Amanda C. Snyder*, Associate Director, Office of Sponsored Programs, University of Washington
Danielle Brown, Assistant Director, Sponsored Programs Administration, University of Maryland, Baltimore

Human Capital | Program Level: Overview

LEVERAGING EMPLOYEE APPTITUDES TO DELIVER EXCELLENT RESEARCH SERVICES (LEADERS)
The hallmark of a strong office lies in its human capital. There is no more important role for managers and leaders of Research Administration units than the recruitment, development, management and retention of Research Administration professionals who are critical to the success of any office. It is critical to the success of any office to identify the characteristics of effective Research Administrators and systematically build a position profile to recruit successful hires. But that is where the real work begins. Developing and retaining professional staff takes effective management, planning and incentives. This session will offer insights into good practices for addressing these challenges and maximizing opportunities for staff to grow as professionals with the recognition that some skills can be taught while others cannot.

(TAG: Career Development)

LEARNING OBJECTIVES
• Participants will be able to identify key aptitudes, attitudes and working styles to assist in recruiting successful Research Administrators.
• Participants will explore best practices for developing professional staff and gain insights into how to retain staff through career ladder opportunities.

PREREQUISITE: None

Susan Wyatt Sedwick*, Consulting Associate, Attain, LLC
Cynthia Hope, Assistant Vice President for Research & Director of Sponsored Programs, The University of Alabama

* Lead faculty
LEADERSHIP AT THE NEXUS OF FINANCIAL RESEARCH ADMINISTRATION/POST-AWARD ACTIVITIES
This overview session will introduce attendees to leadership principles that are necessary for success in the international and financial research administration realms. Drawing upon the years of extensive management experience in research administration and beyond, the presenters will share best practices with attendees.

(TAGS: Career Development; Infrastructure Development; Reporting & Metrics)

LEARNING OBJECTIVES
Participants will leave the session with a greater appreciation for leadership and its central role in overseeing and managing international research collaborations.

PREREQUISITE: None

John M. Carfora*, Associate Provost, Research Advancement and Compliance, Loyola Marymount University
James J. Casey, Director, Office of Sponsored Programs, American University

COMPARING FULL COSTING FOR EU VS. US INDIRECT COST PRACTICE
Have you ever wondered how the European Union full cost method equates to the US cost accounting model? This session will identify parallels and distinctions between two costing methods. We will compare the direct cost base and the make-up of costs. Cost principles used in the U.S and the E.U will be covered, including direct, indirect, allowable and unallowable costs.

(TAGS: Budgeting/Forecasting; Federal Regulation; Reporting & Metrics)

LEARNING OBJECTIVES
- By comparing two types of costing the participants will better understand types of costs treated as direct and indirect.
- Participants will understand some of the differences and limitations between the US and EU costing methods.
- Participants will be able to describe how the full costing method is used.

PREREQUISITE: Participants should have a basic understanding of costing principles.

Jim Carter*, Managing Director, Huron Consulting Group

CLINICALTRIALS.GOV REPORTING – HHS FINAL RULE AND NIH POLICY
This session will explain recent changes in HHS and NIH requirements aimed at ensuring the public availability of clinical trial information on ClinicalTrials.gov. An overview of the HHS Final Rule on Clinical Trials Registration and Results Submission and the NIH Policy on the Dissemination of Clinical Trial Information will be provided. Background on the ethical and scientific rationale for trial registration and results reporting will be described as well as information on specific aspects of how sponsors, investigators, and NIH-funded institutions can meet the new requirements. This includes who must report and what clinical trial information must be reported within specific deadlines. If the specific deadlines are not met, there are potential penalties for noncompliance and these consequences will also be described.

(TAG: Federal Regulation)

LEARNING OBJECTIVES
- Participants will have a better understanding of the legal requirements pertaining to ClinicalTrials.gov.
- Participants will have a better understanding of which studies should be registered and reported on ClinicalTrials.gov.
- Participants will have a better understanding of penalties of noncompliance and impacts on NIH-funded institutions.

PREREQUISITE: Participants should have a basic understanding of clinical trials.

Rebecca J. Williams*, Assistant Director, ClinicalTrials.gov, National Library of Medicine, National Institutes of Health

* Lead faculty
8:15 – 9:45 am | CONCURRENT SESSIONS CONTINUED

**ESTABLISHING AND MODIFYING INTERNAL CONTROLS**

Increasingly, PUI's find the need to examine their internal controls to ensure compliance with sponsor and institutional requirements. Delegating to faculty and expanding staff to make decisions requires a system of oversight and monitoring beyond simply reviewing expenditures. Metrics are increasingly being utilized to promote greater efficiency in monitoring activities and for reporting capability. Establishing internal controls is a proactive approach to ensuring compliance with activities and timelines. This session will discuss processes and metrics to ensure an institution is in compliance with requirements required to accept federal funding.

(TAGS: Infrastructure Development; Process Improvement; Reporting & Metrics)

**LEARNING OBJECTIVES**
- Participants will learn commonly implemented internal controls to monitor grant activities.
- Participants will learn how metrics can be utilized to ensure timeliness and compliance with sponsor requirements.
- Participants will gain information about internal controls utilized at other PUIs.

**PREREQUISITE:** None

**Pam B. Whitlock**, Director, Office of Sponsored Programs, University of North Carolina at Wilmington (Emeritus)

**Sarah M. Smith**, Director of Sponsored Programs, University of North Carolina System

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**Sponsored Project Accounting**

This session may also be of interest to participants in the following area: Departmental

**AWARD MANAGEMENT/AWARD CLOSEOUT – PROJECT REDESIGN – IMPLEMENTATION STRATEGIES FOR SUCCESS**

This session provides an overview of the activities undertaken in order to successfully redesign the award management and award closeout processes of the central office. Strategies used include identifying areas on concern, revising/documenting internal processes/procedures, holding focus groups and pilot programs, initiating training programs, setting up a guidance document library among a host of other strategies and techniques.

(TAG: Reporting & Metrics)

**LEARNING OBJECTIVES**
- Participants will learn about the various aspects of award management to award closeout.
- Participants will take away an understanding of the overall process award management to award closeout.
- Participants will take away ideas on how to successfully implement/redesign their Award management and Award Closeout Process.

**PREREQUISITE:** Participants should have an understanding of Award Management.

**Tonya Kimble**, Reporting Supervisor, Office of Post-Award Administration, The University of Texas Southwestern Medical Center

**Cheryl L. Anderson**, Director, Office of Sponsored Programs Administration, The University of Texas Southwestern Medical Center

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* Lead faculty
This session may also be of interest to participants in the following area: Human Capital

FISMA, NIST, AND REGULATED DATA
Protecting research information and systems from unauthorized access, use, disclosure, disruption, modification, or destruction is a critical component to safeguarding research information and preventing financial loss or damage to the university's reputation. Protecting confidential information is not only a legal and business requirement, but is also an ethical requirement. Due to increased cybersecurity concerns throughout the world, sponsors are including more stringent requirements for working with restricted data. CUI, 800-171, 32 CFR 2002, FISMA, NIST, HIPAA. What do they mean? How do they impact my University's portfolio? What should I be doing to comply? This session will describe the basis of the requirements and offer best practices in creating compliant institutions.

( TAGS: Federal Regulation; Policy Development; Uniform Guidance)

LEARNING OBJECTIVES
Participants will have a better understanding of the basis of the requirements and offer best practices in creating compliant institutions.

PREREQUISITE: Participants should have a basic exposure to restricted data requirements.

Stephanie L. Gray*, Assistant Vice President, Sponsored Programs, University of Florida
Alicia D. Turner, UFIT Business Relationship Manager, University of Florida

8:15 – 9:45 am | DISCUSSION GROUPS

This session may also be of interest to participants in the following area: Human Capital

HOT TOPICS IN GLOBAL RESEARCH ADMINISTRATION
Global research collaborations continue to expand and with that so do the challenges of administering the awards. Topics for discussion may include dealing with OMB Uniform Guidance or Horizon 2020 requirements; the impact of US and Brexit election results on global collaborations; audits and sub-recipient monitoring; and differences in Research Administration infrastructures. Better yet, bring your suggestions for discussion topics! Join your colleagues for an opportunity to discuss the difficulties of managing global projects as well as your solutions.

Robert C. Andresen*, Director of Research Financial Services, Associate Director, Research and Sponsored Programs, University of Wisconsin-Madison
8:15 – 9:45 am | DISCUSSION GROUPS CONTINUED

**Medical/ Hospital**

This session may also be of interest to participants in the following area: Human Capital

**INNOVATIVE WAYS TO PARTNER WITH INDUSTRY, ADVOCACY GROUPS, COMMUNITY, AND FOUNDATIONS TO SUPPORT RESEARCH**

Sustainability of research programs relies on relationships with traditional and non-traditional partners. Identifying potential partners to support research at your institution can be a daunting task. How do you start the conversation? Who do you reach out to? Does the potential partner have a common research interest? What resources are needed and or available to support research? How do you identify potential partners that you haven’t worked with previously? How do you sustain existing partnerships long term and build new ones? This discussion session will explore innovative ways to engage, build, expand, sustain partnerships to support research.

**Maija Neville-Williams**, Administrative Director, Center for Basic and Translational Research on Disorders of the Digestive Systems (CDDS), Rockefeller University

**Predominantly Undergraduate Institutions**

**SHARE CHECKLISTS FOR PUIs**

Checklists can help a new person learn the steps for a process or remind one of how to proceed through the steps of a process not done often. Creating checklists can be a time consuming task. Do you have checklists you can share with others or are you in need of a checklist or two to help you in your office or day to day job? Bring your current checklists and join us as we discuss the uses of checklists as well as share both Pre- and Post-Award checklists that we use.

**Denise Rouleau**, Research Administration Associate Director, Cummings School of Veterinary Medicine, Tufts University

**Sponsored Project Accounting**

This session may also be of interest to participants in the following area: Departmental

**THE PERCEPTION OF F&A**

Inclusion of F&A costs is not always well-received. Our faculty may view F&A costs as a tax or as costs that reduce direct support for their projects. Despite the resentment they sometimes create, F&A costs are real and necessary for the conduct of research. Let’s discuss how your perception of F&A is influenced by your point of view, e.g., as a researcher, a departmental administrator, or a central administrator. Let’s talk about policies and practices related to F&A, and how they contribute to people’s feelings and opinions. Let’s examine how we can neutralize F&As frequently negative image.

**Jennifer Rodis**, Policy Analyst, Office of Research and Sponsored Programs, University of Wisconsin-Madison

* Lead faculty
### Lead faculty

**18th Annual Financial Research Administration Conference ~ March 11 – 13, 2017 San Diego, CA**

**Monday, March 13, 2017 AGENDA**

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<thead>
<tr>
<th>Time</th>
<th>Session Name</th>
<th>Speaker(s)</th>
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<tbody>
<tr>
<td><strong>8:15 – 9:45 am</strong></td>
<td>DISCUSSION GROUPS CONTINUED</td>
<td></td>
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<tr>
<td>Systems/Emerging Technologies</td>
<td>MODERN REPORTS &amp; DASHBOARDS: MORE THAN JUST NUMBERS</td>
<td>Randy Ozden*, CEO, The Streamlyne Research Team</td>
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<tr>
<td><strong>8:15 – 9:45 am</strong></td>
<td>SPARK SESSIONS</td>
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<tr>
<td>8:15 – 8:35 am</td>
<td>I’M WORKING WHILE THE REST OF MY TEAM IS SLEEPING... BEST PRACTICES FOR WORKING ON GLOBAL TEAMS</td>
<td>Tara Seaton*, Associate Director, Award Management, Arizona State University</td>
</tr>
<tr>
<td><strong>8:45 – 9:05 am</strong></td>
<td>TRAINING CAMP: FOCUS ON PARTICIPATION</td>
<td>Carrie Chesbro*, Sponsored Projects Training Manager, Sponsored Projects Services, University of Oregon</td>
</tr>
<tr>
<td><strong>9:15 – 9:35 am</strong></td>
<td>THE FIRST YEAR – SINGLE AUDIT EXPERIENCES UNDER THE UNIFORM GUIDANCE</td>
<td>Ashley Deihr*, Senior Manager, Baker Tilly</td>
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<tr>
<td><strong>9:45 – 10:15 AM</strong></td>
<td>NETWORKING AND REFRESHMENT BREAK</td>
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<td><strong>10:15 – 11:30 am</strong></td>
<td>CONCURRENT SESSIONS</td>
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<tr>
<td>Compliance</td>
<td>LEARNING OBJECTIVES</td>
<td></td>
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<tr>
<td>Program Level: Basic</td>
<td>- Participants will understand the ways in which a compliance program may impact proposal submission and award setup.</td>
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<td></td>
<td>- Participants will be able to identify strategies that minimize the impact of compliance procedures on a sponsored programs office.</td>
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<td></td>
<td>- Participants will explore specific federal mandates and how your institution can meet these regulatory requirements without slowing down the grants process.</td>
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**PREREQUISITE:** Participant should have a basic understanding of compliance requirements.

**Matt Richter**, Compliance Manager, Office of Sponsored Programs, University of Wisconsin-Milwaukee

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**MIND THE STRINGS: PROMOTING A COMPLIANCE MINDSET**

With regulatory requirements increasingly accompanying research awards, it is difficult to mind the strings attached to funding for research. Compliance with federal mandates is even more challenging, however, when a compliance program intersects with sponsored programs business processes. We will discuss strategies for designing low-burden administrative procedures that meet regulatory demand while minimizing compliance requirements. We will consider the impact on proposal submission and award setup processes. Share best practices with your peers, ask specific questions about your compliance areas, and learn strategies for aligning your institution with federal mandates without holding up proposals or expenditure of award funds.

(TAGS: Federal Regulation; Non-financial Post-Award; Policy Development)

* Lead faculty
18th Annual Financial Research Administration Conference ~ March 11 – 13, 2017 San Diego, CA

Monday, March 13, 2017 AGENDA

10:15 – 11:30 am | CONCURRENT SESSIONS CONTINUED

Compliance * Program Level: Basic

This session may also be of interest to participants in the following areas: International, Medical/Hospital

**COMPLIANCE 2.0 (IRB, IACUC, IBC, COI): AN INSTITUTIONAL COMMITMENT TO MINIMIZE BURDEN**

A culture of compliance begins with a culture of understanding. Over the past few years, mandated administrative burdens have been imposed on the research community. Many institutions are faced with the duty of maintaining a high standard of regulatory compliance while supporting the reduction of regulatory burden for researchers. The interactive session will include discussions, case studies and exercises to help understand the regulations governing these areas that are the cornerstones of non-financial compliance.

(TAGS: Infrastructure Development; Non-financial Post-Award; Process Improvement)

**LEARNING OBJECTIVES**

- Participants will be able to identify how the areas intersect with Research Administration and the research enterprise.
- Participants will gain an understanding of compliance standards and best practices.
- Participants will be able to identify external expectations and identify risk.

**PREREQUISITE:** Participants should have a basic understanding of compliance basics (IRB, IACUC, IBC, FCOI) in a research enterprise environment.

Rosemary E. Madnick*, Executive Director, Office of Grants and Contracts Administration, University of Alaska Fairbanks

Maria Diaz-Romero, Contract and Grant Officer, Office of Research, University of California, Irvine

Research Administrators have to be familiar with a plethora of regulations...

**NCURA OFFERS A COMPREHENSIVE RESOURCE OF ALL THE RELEVANT REGULATIONS FOR GRANTS, COOPERATIVE AGREEMENTS, AND CONTRACTS**

**Regulation and Compliance: A Compendium of Regulations and Certifications Applicable to Sponsored Programs**

This vital reference distills *more than 100 Federal Requirements* to help you keep your institution and faculty in compliance.

Over 200 pages of reliable information in an easy to use format that will save countless hours of research.

Order Your Copies at http://www.ncura.edu/PublicationsStore/Store.aspx

* Lead faculty
**MONDAY, MARCH 13, 2017**  

**AGENDA**

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### 10:15 – 11:30 am  | CONCURRENT SESSIONS CONTINUED

**Departmental**  

#### Program Level: Intermediate

**AUDIT-PROOF YOUR DEPARTMENT**

This session may also be of interest to participants in the following areas: Compliance, Sponsored Project Accounting

In this session we will discuss audits of a university department's sponsored funding. We will review the audit life cycle, the role of the department administrator, and common audit findings. We will focus on ways to prepare long before the audit happens so that your department will be set up for a successful audit.

*(TAGS: Federal Regulation; Policy Development; Process Improvement)*

**LEARNING OBJECTIVES**
- Participants will learn about audits and the audit life cycle.
- Participants will understand their role in the process.
- Participants will be able to identify some of the most common audit findings.
- Participants will discuss real examples of audit findings and evaluate solutions.

**PREREQUISITE:** Participants should have participated in at least one audit at their institution.

*Deborah Cundiff*, Business Administrator, Northwestern University

*Hillary Sparks*, Business Administrator, Mechanical Engineering, Northwestern University

*Jennifer Mitchell*, Associate Executive Director for Research Financial Operations, Northwestern University

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### 10:15 – 11:30 am  | CONCURRENT SESSIONS CONTINUED

**Federal**  

#### Program Level: Update

**FEDERAL RESEARCH POLICY UPDATE**

NIH and NSF experts provide an informative update regarding the status of our current, Federal-wide initiatives. Research Terms and Conditions, which implement the Uniform Regulations and the Final Research Performance Progress Report (F-RPPR) will be reviewed during this session.

*(TAG: Federal Regulation; Uniform Guidance)*

**LEARNING OBJECTIVES**
- Participants will be able to describe the status of current, Federal-wide initiatives.
- Participants will be able to define the Research Terms and Conditions and explain their impact, in award management.
- Participants will be able to explain the implementation plan for the Research Terms and Conditions and the Final RPPR.

**PREREQUISITE:** Participants should have a basic knowledge of Federal-wide initiatives.

*Jean Feldman*, Head, Policy Office, Division of Institution and Award Support, Office of Budget, Finance, and Award Management, National Science Foundation

*Michelle Bulls*, Director, Office of Policy for Extramural Research Administration, National Institutes of Health *(presenting virtually)*

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### 10:15 – 11:30 am  | CONCURRENT SESSIONS CONTINUED

**Human Capital**  

#### Program Level: Overview

**THE THREE Rs: RECRUITING, RETAINING, AND RELEASING**

This session may also be of interest to participants in the following area: International

A successful sponsored programs office depends on the skills and talents of its people. Universities invest a great deal of time and money into recruiting individuals with the best qualifications and traits. For many, Research Administration becomes a fulfilling and satisfying career. For others, it can become fraught with frustration and stress leading to an unproductive and unhappy environment.

*(TAG: Career Development)*

**LEARNING OBJECTIVES**
- Participants will learn about the interview process and how to “get the right people on the bus.”
- Participants will learn how to keep employees engaged in an inclusive and diverse environment.
- Participants will learn the signs of unproductiveness and unhappiness.

**PREREQUISITE:** None

*Kathleen M. Larmett*, Executive Director, National Council of University Research Administrators

*Eva Björndal*, Team Leader, Post-Contract and Financial Compliance, Karolinska Institutet

*Adrienne Larmett*, Manager, Higher Education and Research Institutions Practice, Baker Tilly

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**MONDAY, MARCH 13, 2017**

### AGENDA

**10:15 – 11:30 am | CONCURRENT SESSIONS CONTINUED**

<table>
<thead>
<tr>
<th>International</th>
<th>Program Level: Advanced</th>
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<tbody>
<tr>
<td><strong>FINANCIAL DIMENSIONS OF INTERNATIONAL PROJECTS: PANEL DISCUSSION OF A CROSS SECTION OF INSTITUTIONS WITH VARYING RESOURCES AND ISSUES</strong></td>
<td><strong>LEARNING OBJECTIVES</strong></td>
</tr>
</tbody>
</table>
| Planning, establishing and managing international research projects present a range of financial challenges and complexities beyond programs managed on campus or in the U.S. Risks and challenges are further increased by inexperience or lack of information concerning laws, financial practices or customs. Institutions engaged in projects in other countries range from large institutions with significant infrastructure to smaller institutions with distributed, less established processes or support. Join us at this session to hear from administrators involved in managing financial aspects of international projects. Explore resources that have been established by these institutions. | • Participants will understand financial issues, challenges and solutions associated with managing international projects.  
• Participants will understand various models to support international projects. |
| (TAG: Infrastructure Development; Policy Development; Process Improvement) | **PREREQUISITE:** None |
| **HOW TO PARTNER WITH/ENGAGE ALL STAKEHOLDERS IN THE RESEARCH ENTERPRISE** | **Jill Mortali***, Director, The Office of Sponsored Projects, Dartmouth College  
**Robert Andresen**, Director of Research Financial Services, Associate Director, Research and Sponsored Programs, University of Wisconsin-Madison  
**Mary Catherine “MC” Gaisbauer**, Assistant Controller, Contracts & Grants Accounting, University of California, San Francisco  
**Tara Seaton**, Associate Director, Award Management, Arizona State University  
**Meg Rogers**, Director, Research Office, Carnegie Mellon University in Qatar |
| The Puerto Rico Consortium for Clinical Investigation (PRCCI) is a new not-for-profit collaborative of clinical research sites in Puerto Rico. Partnering with diverse organizations (Universities, Government Organizations, for-profit companies, pharmaceutical companies, CROs, patient advocacy groups, other not-for-profit entities) has been instrumental in the set up and operationalization PRCCI and has already yielded early success signs. This presentation will provide an overview of the PRCCI partnering and engagements thus far. A critical discussion will follow, centered around the overarching strategy and the guiding principles behind partnering. The results from PRCCI’s current partnering activities will be presented with commentary on what worked, what did not, and why. | **LEARNING OBJECTIVES** |
| (TAG: Infrastructure Development) | • Participants will have a better understanding of the stakeholder landscape for clinical research.  
• Participants will have an appreciation of the benefits and risks of partnering. |
| **Medical/Hospital** | **PREREQUISITE:** Participants should have experience in, and/or a good understanding of, clinical research, either from an investigator, supporting staff, sponsor, CRO, or patient advocate perspective.  
**Kosmas Kretos***, Executive Director, Puerto Rico Consortium for Clinical Investigation |
| **LEARNING OBJECTIVES** | **How to Partner With/Engage All Stakeholders in the Research Enterprise** | **PREREQUISITE:** None |
| **Jill Mortali***, Director, The Office of Sponsored Projects, Dartmouth College  
**Robert Andresen**, Director of Research Financial Services, Associate Director, Research and Sponsored Programs, University of Wisconsin-Madison  
**Mary Catherine “MC” Gaisbauer**, Assistant Controller, Contracts & Grants Accounting, University of California, San Francisco  
**Tara Seaton**, Associate Director, Award Management, Arizona State University  
**Meg Rogers**, Director, Research Office, Carnegie Mellon University in Qatar | **LEARNING OBJECTIVES** |
| • Participants will understand financial issues, challenges and solutions associated with managing international projects.  
• Participants will understand various models to support international projects. | **How to Partner With/Engage All Stakeholders in the Research Enterprise** |
| **Kosmas Kretos***, Executive Director, Puerto Rico Consortium for Clinical Investigation | **LEARNING OBJECTIVES** |
| **LEARNING OBJECTIVES** | **How to Partner With/Engage All Stakeholders in the Research Enterprise** |

* * Lead faculty
This session may also be of interest to participants in the following area: Human Capital

BUILDING RESEARCH OPERATIONS FROM THE GROUND UP
An office of sponsored research is charged with many duties from promoting research, to monitoring compliance to overseeing budgets and billing. Building an office from the ground up can be challenging deciding which one of these aspects to focus on first. Dr. Mark Roltsch left a position at NIH as a program officer to build a research program at a PUI. In three years he increased funding from $2 million to $8 million then moved to a larger PUI to do the same thing. In one year at UWF he increased research funding 10% and increased the level of customer service from “good” to “very good” as rated by the faculty. In this session he will discuss the challenges he faced with building an RSP office, lessons he learned, and ideas you can use in your office. He shares experiences of how to develop faculty confidence, developing policies, and building teamwork. This session is not just for Research Administrators at PUIs.

(TAGS: Infrastructure Development; Policy Development; Reporting & Metrics)

LEARNING OBJECTIVES
• Participants will develop ideas for how to build a small scale Office of Sponsored Research Department.
• Participants will be provided with suggestions for implementing policies for compliance, evaluating their business processes, building faculty confidence and communication and grant development.
• Participants will be able to take this information back to their respective institutions in order evaluate weaknesses and strengths in their operations.

PREREQUISITE: None

Mark Roltsch*, Assistant Vice President for Research and Director of Research and Sponsored Projects, Office of Research and Sponsored Programs, University of West Florida

Sponsored Project Accounting

This session may also be of interest to participants in the following area: Compliance

FOSTERING A COMPLIANCE MINDSET
Funding for research comes with many strings attached. As administrators, our job is to help investigators to mind the strings. We comply with federal mandates through sound institutional policy and design compliance programs with least intrusive, low administrative burden. But how do we foster a mindful approach to compliance at our institutions? In this session, we discuss what *makes fostering a compliance mindset challenging, *strategies to overcome these challenges, *characteristics of a successful compliance program, *and guiding principles for maintaining a successful compliance program. Attendees will learn proven methods for fostering a general compliance mindset and will understand best practices for PhD-granting institutions and medical institutions specifically.

(TAGS: Federal Regulation; Infrastructure Development)

LEARNING OBJECTIVES
• Participants will understand primary challenges to fostering a compliance mindset among investigators.
• Participants will identify benchmarks for successful compliance programs.
• Participants will learn strategies for overcoming challenges to a compliance mindset and achieving benchmarks for success.
• Participants will mitigate the introduction of additional, unintended audit exposure while trying to do the right thing and achieve compliance.
• Participants will come away with best practices for maintaining a compliance mindset at your campus.

PREREQUISITE: Participants should have a basic understanding of compliance requirements.

Debra Y. Murray*, Assistant Director, Compliance, Sponsored Programs Accounting and Compliance (SPAC), Division of Research, University of Maryland, College Park

* Lead faculty
According to the AGENDA, the 18th Annual Financial Research Administration Conference was held in San Diego, CA, from March 11–13, 2017. The agenda for Monday, March 13, 2017, includes the following session:

**10:15 – 11:30 am | CONCURRENT SESSIONS CONTINUED**

**BEYOND THE DESKTOP: ELECTRONIC TOOLS IN THE WORKPLACE**

This session may also be of interest to participants in the following areas: Departmental, Sponsored Project Accounting.

**LEARNING OBJECTIVES**

- Participants will learn about Cloud Services and their impact on portability of data and paperless workflow.
- Participants will be introduced to Digital Notebooks and Collaborative software (OneNote).
- Participants will learn about tech tools to “hack” their productivity.
- Participants will learn about and discuss mobile computing and paperless workflow.

**PREREQUISITE:** None

**Justin Morgan**, Award Negotiator, Office of Sponsored Programs, University of Illinois at Urbana-Champaign

**THE PATH TO DATA ACCESS IN A CENTRALIZED ORGANIZATION**

This session will provide an overview of the experience of centralizing research administration as it relates to data access. What do you need to think about when you move to a centralized model? What will change in terms of who can access what? When centralizing services, thinking through access issues is essential. We will review the questions one should ask when thinking about a centralized model, the logistics of sharing data, and share experience of managing data access within a large department.

**LEARNING OBJECTIVES**

- Participants will discuss what to consider before centralizing.
- Participants will learn how to prepare for and manage the logistics of data access.
- Participants will review lessons learned.

**PREREQUISITE:** Participants should have management experience and knowledge of research administration data management systems.

**Jennifer J. Cory Doeschot**, Director of Research Administration, Department of Pediatrics, Stanford University

**MULTI-PROJECT GRANTS MANAGEMENT (FOLLOW-UP TO CONCURRENT SESSION HELD AT 8:15 AM)**

We will continue the discussion on best practices and tips to help you successfully manage multi-project grants, such as NIH PO1 and P50 mechanisms. Please bring your questions or tips to share with the group.

**LEARNING OBJECTIVES**

- Participants will learn best practices and tips to help manage multi-project grants.
- Participants will share their experiences and insights.

**PREREQUISITE:** None

**Nancy A. Reidelberger**, Research Project Manager, Division of Oncology, Washington University in St. Louis

**Cara Baczewski**, Senior Grants Budget Specialist, Washington University in St. Louis

* Lead faculty
**AGENDA**

### 10:15 – 11:30 am | DISCUSSION GROUPS CONTINUED

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<td><strong>This session may also be of interest to participants in the following area:</strong> Departmental</td>
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<tr>
<td><strong>DEADLINES: HOW TO MAKE EVERYONE STEP UP</strong></td>
</tr>
<tr>
<td>Success cannot be built on weakness so we must focus on our strengths. How do we enhance productivity as well as performance of those whom we manage and with whom we collaborate in the proposal development process? The key to accomplishing successful Research Administration outcomes for both faculty and central administration is the positive, productive use of deadlines. In this session we will discuss ways to set and manage deadlines effectively.</td>
</tr>
<tr>
<td><strong>Derick F. Jones</strong>, Program Manager, The Institute for Translational Genomics and Population Sciences G.A.M.E. (Genetic and Molecular Epidemiology Institute), Los Angeles Biomedical Research Institute</td>
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<tr>
<td><strong>Matthew Kirk</strong>, Assistant Manager, Grant &amp; Contract Services, Cedars Sinai Medical Center</td>
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<tr>
<td><strong>This session may also be of interest to participants in the following areas:</strong> Departmental, Human Capital</td>
</tr>
<tr>
<td><strong>STAFFING MODELS: HOW TO RIGHT SIZE YOUR RESEARCH PROGRAM</strong></td>
</tr>
<tr>
<td>Providing the appropriate amount of research and administrative support to a Principal Investigator’s research program can be challenging especially given organizational budget challenges, competing priorities, and long-standing budget models employed by university academic departments. MedStar has an innovate approach to providing staffing support to PIs that is more closely aligned to institutional budgeting and revenue goals. Participants are invited to share staffing methodologies and discuss the pros/cons of applying an alternative model at their organization.</td>
</tr>
<tr>
<td><strong>James Reisert</strong>, Assistant Vice President of Financial Operations, MedStar Health Research Institute</td>
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<tr>
<td><strong>Jerry G. Fife</strong>, Principal Consultant, Point Consulting Group</td>
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<tr>
<td><strong>Mary Beth Rudofski</strong>, Principal Consultant, Point Consulting Group</td>
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<th>Predominantly Undergraduate Institutions</th>
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<tbody>
<tr>
<td><strong>ESTABLISHING ROLES AND RESPONSIBILITIES AT YOUR PUI</strong></td>
</tr>
<tr>
<td>In light of the emphasis the Uniform Guidance places on internal controls, it is more important than ever to clearly define roles and responsibilities. At small institutions, like most PUIs, this can be a challenge. This session will provide a forum to share challenges and best practices when implementing and monitoring the internal control requirements of the Uniform Guidance with a small staff, while harmonizing with your campus culture. Participants are invited to share their own institutional examples of balancing risk and resources.</td>
</tr>
<tr>
<td><strong>Pamela Whitlock</strong>, Director, Office of Sponsored Programs, University of North Carolina at Wilmington (Emeritus)</td>
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<tr>
<td><strong>Susan Gavin</strong>, Director, Office of Sponsored Programs, Taylor University</td>
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<tr>
<td><strong>Maja Marjanovic</strong>, Director, Sponsored Programs, Purdue University Calumet</td>
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* Lead faculty
**AGENDA**

Monday, March 13, 2017

### 10:15 – 11:30 am | DISCUSSION GROUPS CONTINUED

**Sponsored Project Accounting**

This session may also be of interest to participants in the following area: Compliance

**INTERNAL CONTROLS**

The 2016 OMB Compliance Supplement updated Part 6 - Internal Controls for the first time since the Uniform Guidance went into effect, providing insight into how institutions can establish effective internal controls and how auditors will assess internal controls during the Single Audit. This session will review key takeaways related to internal controls from the Uniform Guidance and Part 6 and explore how institutions can build an effective system of internal controls.

**10:15 – 11:30 am | SPARK SESSIONS**

**A FACILITIES COST PROJECTION PROPOSAL (FCPP): A HOW TO**

Caroline Beeman*, Senior Manager, Higher Education Practice, MAXIMUS

**10:45 – 11:05 am**

**CONFLICT OF INTEREST: WHO, WHAT, WHERE, WHEN AND WHY**

Sarah Martonick, Manager, Post-Award, Office of Sponsored Programs, University of Idaho

**11:15 – 11:30 am**

**CONSCIOUS LEADERSHIP**

Tara E. Bishop*, Deputy Chief Executive, National Council of University Research Administrators

### 11:30 AM – 1:00 PM | NETWORKING LUNCHEON

### 1:00 – 2:15 pm | CONCURRENT SESSIONS

**Compliance | Program Level: Intermediate**

**LONG FORM F&A RATE NEGOTIATIONS**

This session will cover the Federal Review Process and complex negotiation issues.

(TAGS: Budgeting/Forecasting; Federal Regulation; Policy Development)

**LEARNING OBJECTIVES**

- Participants will learn the steps in the rate negotiation process.
- Participants will learn to identify the common issues to avoid.

**PREREQUISITE:** Participants should have familiarity with the F&A rate development process.

Wallace Davis*, Partner, Higher Education and Nonprofits, Attain, LLC

Chris Foret, Cost Analyst, Johns Hopkins University

* Lead faculty
AGENDA

Monday, March 13, 2017

1:00 – 2:15 pm | CONCURRENT SESSIONS CONTINUED

This session may also be of interest to participants in the following areas: Departmental, Human Capital

THE FAST AND THE FURIOUS: TWO DIFFERENT APPROACHES TO RESEARCH POLICY DEVELOPMENT
Developing research policy demands thoughtful planning and careful strategy, with transparency and inclusiveness driving your stakeholder groups. But developing policy also requires consideration for your institution’s culture. In this session, we compare two institutions with two different approaches to policy development: one fast and dynamic; the other, slow and governance-intensive. In this session, we discuss:

- characteristics of an institution’s culture and effects on policy development;
- understanding your institution’s governance process;
- how to determine whether policy is best way forward based on your objectives;
- who your stakeholders are and how best to communicate policy to them;
- navigating required reviews and getting buy-in;
- using data to make your case; and
- separating policy from procedure.

(TAGS: Federal Regulation; Policy Development; Process Improvement)

LEARNING OBJECTIVES
- Participants will understand how your campus culture may affect governance and policy development.
- Participants will learn strategies for successful policy development with consideration for your institution’s policy review and approval process.
- Participants will be able to anticipate challenges in governance and generate buy-in from stakeholders.

PREREQUISITE: Participants should have a basic understanding of policy development.

Matt Richter*, Compliance Manager, Office of Sponsored Programs, University of Wisconsin-Milwaukee

DEPARTMENT ADMINISTRATOR’S BOOTCAMP
In our ever changing and expanding world, we have to wear many hats and navigate waters which can be daunting. This session is intended to be our “me” time - a walk through the world of Departmental Administration, best practices, tips and lessons learned.

(TAGS: Budgeting/Forecasting; Career Development; Federal Regulation)

LEARNING OBJECTIVES
- Participants will focus on: Time Management; Forecasting; Budgeting; Rules/Regulations; Roles and Responsibilities; Power of Communication.

PREREQUISITE: Participants should have a willingness to engage and share.

Sandra Logue*, Administrator, School of Medicine, University of Colorado Denver

NSF UPDATE
This session is a comprehensive review of what is new and developing with the National Science Foundation’s programs, policies, people and budgets. Participants will learn about changes affecting their institutions and researchers.

(TAG: Federal Regulation; Budgeting/Forecasting)

LEARNING OBJECTIVES
- Participants will understand recent and future changes to NSF policies and procedures.
- Participants will learn about current and future NSF budgets, agency priorities, and involvement in electronic initiatives including advances with Research.gov.

PREREQUISITE: Participants should be involved with the application of NSF policies and procedures at their institution.

Jean Feldman*, Head, Policy Office, Division of Institution and Award Support, Office of Budget, Finance, and Award Management, National Science Foundation

Jamie French, Division Director, Division of Grants and Agreements, National Science Foundation

* Lead faculty
PERFORMANCE MANAGEMENT FOR MANAGERS

Of all of the roles of a manager, perhaps the most unique, challenging, and rewarding aspect is managing the performance of your employees. While fulfilling this function well is absolutely critical to the success of the manager and their team, managers rarely receive extensive training in this area and are often left to figure it out through trial and error. This session will provide you with powerful tools and concepts to equip you to effectively manage the performance of those entrusted to your oversight, as well as the opportunity to share and hear real-world examples and case studies.

(TAG: Career Development)

LEARNING OBJECTIVES

- Participants will increase their skills in effectively managing employee performance by furthering their knowledge in the following areas:
  - How to utilize the concepts of Respect, Consistency and Vision to increase confidence and results.
  - How to minimize/manage conflict.
  - How to address and diffuse emotional outbursts.
  - How to use data as a powerful tool to provide support to decisions and discussions with employees.
  - How to build an “arc of trust” and utilize its resources to improve skills on-site.

PREREQUISITE: This session is designed for individuals who currently have direct reports.

Nicholas Petersen*, Grant and Contract Principal, Office for Research and Sponsored Projects Administration, Arizona State University
Sarah Kern, Senior Grant and Contract Officer, Office of Research and Sponsored Projects Administration, Arizona State University

Still using your Magic 8-Ball to guide you?

Contractor or Subrecipient? Reply hazy, try again
Do we need to have a data use agreement in place? Very doubtful
Is this FAR clause acceptable? Signs point to yes
Will we need an ITAR export control license? Ask again later

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www.ncura.edu/PublicationsStore.aspx
### International

**MANAGING AN INTERNATIONAL CENTER**

This introductory and interactive session covers the issues and practical considerations involved in managing an international center.

(TAGS: Career Development; Infrastructure Development; Non-financial Post-Award)

**LEARNING OBJECTIVES**

The participants will leave the session having a greater understanding of the issues and practical considerations involved in managing an international center.

**PREREQUISITE:** None

*Lesley A. Bell*, Assistant Director, National Center for Therapeutics Manufacturing, The Texas A&M Engineering Experiment Station  
*Janelle Turner*, Senior Project Administrator II, Texas A&M University Qatar Research Programs  
*Natalie Bienski*, Senior Project Administrator I, Texas A&M University Qatar Research Programs

### Medical/Hospital

**CLINICAL RESEARCH BILLING VS. SPONSOR BILLING FOR CLINICAL RESEARCH**

Research participant visit tracking directly drives financial management and compliance. Non-compliance with Medicare billing requirements for clinical trials can leave your institution vulnerable to punitive action. Learn how to take authority over all the pieces of clinical research billing and take responsibility for the entire financial lifecycle of a clinical trial to mitigate fiscal compliance risk.

(TAGS: Billing/Invoicing; Clinical Trials/Clinical Research; Federal Regulation)

**LEARNING OBJECTIVES**

- Participants will be provided with a basic overview of the Medicare program.
- Participants will be provided with a general overview of the regulatory climate today.
- Participants will review the financial lifecycle of a clinical trial.
- Participants will be able to track research participant visits with and without a Clinical Trial Management System (CTMS).
- Participants will be provided with strategies to partner with patient financial services/hospital billing who have the responsibility to bill correctly for the clinical items and services provided in the context of a clinical research protocol.
- Participants will be provided with strategies to implement best practices to mitigate compliance risk.

**PREREQUISITE:** Participants should have a general understanding of patient visit tracking at their institution.

*James Reisert*, Assistant Vice President of Financial Operations, MedStar Health Research Institute  
*Mary Anne Hinkson*, Vice President, Research Operations, MedStar Health Research Institute

### Predominantly Undergraduate Institutions

**FRINGE BENEFIT RATES: THE HOW TO GUIDE FOR A PUI**

This session is designed to provide the basics related to developing fringe benefit rates, fringe benefit proposal, development and audit/negotiation.

(TAG: Reporting & Metrics)

**LEARNING OBJECTIVES**

Topics participants will cover will include bases, pools, allowability of costs, allocation methodologies and operation of the fringe benefit pools and subpools.

**PREREQUISITE:** None

*Mira Levine*, Manager, MAXIMUS  
*Nicholas Reed*, Director, Financial and Accounting Services, Wake Forest University

*Lead faculty
1:00 – 2:15 pm | CONCURRENT SESSIONS CONTINUED

Sponsored Project Accounting • Program Level: Advanced

This session may also be of interest to participants in the following area: Departmental

ACCOUNTING FOR SERVICE CENTERS: ADVANCED TOPICS
This session will explore accounting for service centers beyond the basics of rate setting and annual review of those rates. This session will explore: a) accounting for service center rate subsidies, 2) adhering to the NIH CARS manual for costing animal facilities, 3) charging equipment depreciation to service centers, 4) scrutinizing costs for allowability, 5) specialized service facilities (SSF) and the indirect cost rate calculation.

(TAG: Billing/Invoicing)

LEARNING OBJECTIVES
Participants should come away with a deeper understanding of the more complex issues that face service centers along with proven solutions that work in practice at other institutions.

PREREQUISITE: Participants should have a general understanding of basic service center requirements from OMB Uniform Guidance section §200.468 (i.e. breaking even, not discriminating against federal awards, accounting for over/under recoveries, invoicing on actual usage, etc.)

Martin Smith*, Managing Consultant, MBS3, LLC, Consultant
Andres Chan, Director, Office of Financial Analysis, University of Southern California
Shannon Gary, Manager of Research Accounting, University of Louisiana at Lafayette

Systems/Emerging Technologies • Program Level: Overview

This session may also be of interest to participants in the following area: Sponsored Project Accounting

IS MY INSTITUTION READY FOR AN ERA SYSTEM
There are many considerations when contemplating a new electronic grants management system. When is the timing right? Do I need outside help? What does my RFP need to include? What are my internal IT requirements? How much time and resources might it need? When do I communicate and with whom? What can I expect? Come learn from Research Administrators who have recently implemented an electronic system for the first time and what they learned in the process.

(TAGS: Career Development; Infrastructure Development; Process Improvement)

LEARNING OBJECTIVES
• Participants will discuss an overview of the process.
• Participants will learn pitfalls to avoid.
• Participants will learn how to access your institution’s readiness.
• Participants will discuss what to consider when writing an RFP.
• Participants will learn what realistic timelines you can expect.

PREREQUISITE: None

Deborah Shaver*, Director, Office for Sponsored Programs, University of Idaho
Anne Feuerborn, Senior Manager, MAXIMUS

Shannon Gary, Manager of Research Accounting, University of Southern California

THE FDP EXPANDED CLEARINGHOUSE: FACILITATING SUBRECIPIENT MONITORING VIA ON-LINE ORGANIZATION PROFILES
This session will discuss the exciting project that FDP has been undertaking to assist research institutions with the requirements of subrecipient entity monitoring and risk assessment. The overall goal of this Pilot is to reduce administrative burden for both the Pass-Through Entity and the Subrecipient Entity. Information about the FDP Expanded Clearinghouse Pilot will be shared including information about the origin of the Pilot, steps taken to develop the current Pilot, a demonstration of the on-line system, future phases of the Pilot and ongoing project as well as information about how institutions can benefit from the Pilot and utilize the system, even if they are not part of it or an FDP member institution.

(TAGS: Billing/Invoicing; Federal Regulation; Process Improvement)

LEARNING OBJECTIVES
• Participants will understand the purpose, goals and schedule for the FDP Expanded Clearinghouse Pilot.
• Participants will learn how to access the FDP Expanded Clearinghouse to streamline their subrecipient entity monitoring.
• Participants will learn how their institution might benefit from the FDP Expanded Clearinghouse Pilot, even if they are not an FDP member institution.
• Participants will learn the national efforts underway to reduce audit review burden related to subawards and subrecipient entity monitoring and risk assessment.

PREREQUISITE: None

Lynette F. Arias*, Assistant Vice Provost for Research, Office of Sponsored Programs, University of Washington
Julie Thatcher, Director, Research Administration, Institute for Systems Biology
AGENDA

1:00 – 2:15 pm | DISCUSSION GROUPS

Departmental

This session may also be of interest to participants in the following areas: Human Capital, Systems/Emerging Technologies

COLLABORATIONS THAT WORK, INSTEAD OF JUST MAKING MORE WORK!
Collaborative science is essential for advancing science however the number of people involved – often from different specialties, departments, and even institutions – can create unique challenges and potential additional administrative work to manage the award and meet all compliance requirements. This discussion will focus on strategies for efficient collaborative award management and effective communication, from building on the proposal collaborations through the award close-out.

Julia Rodriguez*, Certified Research Administrator, University of Missouri - Columbia

International

This session may also be of interest to participants in the following area: Human Capital

INSTITUTIONAL MODELS FOR MANAGING INTERNATIONAL RESEARCH: GROUP DISCUSSION ON MANAGING INTRA-UNIVERSITY STAKEHOLDERS
Funding agencies such as USAID require research faculty and support staff to perform activities abroad more and more often. Traditional university models may not be equipped to address international risks quickly, but Research Administration staff can leverage existing manpower and resources to reduce the risks and burdens of conducting international business by developing infrastructure and managing stakeholders. This discussion group will be an open forum to talk about developing a central coordinating resource to handle issues such as foreign legal, tax, employment, contracting, purchasing, cash management, health and safety.

Adriana Kuiper*, Associate Director, Operations Project Management Office and the Global Operations Office, Arizona State University

* Lead faculty
**AGENDA**

**Monday, March 13, 2017**

### 1:00 – 2:15 pm | DISCUSSION GROUPS CONTINUED

#### Medical/Hospital

This session may also be of interest to participants in the following area: Sponsored Project Accounting

**ENTERPRISE SOLUTIONS FOR CLINICAL TRIAL BILLING: PEOPLE, PROCESS AND TOOLS!**

AMC’s are responsible for meeting their mission by offering the public a volunteer opportunity to participate in clinical research. The operational aspects of shepherding an Investigator and study from approvals to study closure includes a process harmonization with financial experts from the clinical and academic realms. The purpose of this session is to discuss best practices for prospective financial planning during the period to study activation, accurate clinical trial billing as it relates to the planning process and the options for clinical trial billing to include centralized and decentralized processes for timely posting and revenue recovery from the correct guarantor.

- **Ann N. Sieber**, Director, Office of Clinical Research Services, Sponsored Programs Administration, University of Texas Southwestern Medical Center

#### Predominantly Undergraduate Institutions

**ACCOUNTING FOR COST SHARING AT A PUI**

This session will serve as an open forum to discuss “best practices” with respect to accounting for cost sharing, specifically at a PUI. We will discuss how to document committed cost sharing (mandatory or voluntary) from proposal through award and closeout, as well as how to discuss the why's and the why not's with our faculty prior to making such commitments.

- **Lindsey Demeritt**, Associate Director, Sponsored Research, University of Texas at Austin

#### Sponsored Project Accounting

This session may also be of interest to participants in the following area: Compliance

**LESSONS LEARNED: ANIMAL RATE SETTING AT JOSLIN DIABETES CENTER**

This session will identify the compliance issues related to animal rate setting based on “Cost Analysis and Rate Setting Manual for Animal Research Facilities” issued by the National Center for Research Resources. All organizations receiving Federal funding for animal per diems are required to follow the guidelines from the manual when setting animal per diem rates. If the basic precepts of the manual are not followed, an organization, could be vulnerable during an A-133 audit or Federal review. This session will cover an example of a structured process to create an animal rate setting model. It will identify the key players for the creation of a compliant model and participants will learn first-hand how one model was assembled. Each participant will leave the session with an understanding of the key issues and how to approach animal rate setting at his/ her own institution.

- **Robert Cohen**, Senior Manager, Attain, LLC
- **Erika Diaz**, Associate Director, Major Projects and Post-Award Administration, Joslin Diabetes Center

* Lead faculty
This session may also be of interest to participants in the following areas: Human Capital, Medical/Hospital

**HOW TO EFFECTIVELY MANAGE AN AUDIT**
Research institutions face a complex and multifaceted audit burden, potentially including federal or other sponsor audits, an annual Single Audit and financial statement audit performed by the external audit team, internal audits or reviews, and subrecipient monitoring site visits, and desk reviews performed by the prime institution. It is important for institutions to understand the role and impacts that audits may have on their research, and be able to respond effectively when they occur. In this session we will summarize the audit landscape and provide specific tips on preparing for and managing the audit process to optimize the outcome of the review.

*(TAGS: Career Development; Federal Regulation; Non-financial Post-Award)*

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**LEARNING OBJECTIVES**
- Participants will understand the potential audits faced by research institutions, including timing, audit resources, and scope and approach of each type of audit.
- Participants will recognize the impact that audits can have on the institution being audited, with the goal of being better able to plan for that impact.
- Participants will gain practical tips for your institution to be better prepared and able to manage its role in audits.

**PREREQUISITE:** Participants should have a basic understanding of federal grant finances.

**Jeffrey A. Silber**, *Senior Director, Sponsored Financial Services, Cornell University*

**Ashley Deihl, Senior Manager, Baker Tilly**

**Kimberly Ginn, Director, Baker Tilly**
2:45 – 3:45 pm | CONCURRENT SESSIONS CONTINUED

This session may also be of interest to participants in the following areas: Sponsored Project Accounting, Systems/Emerging Technologies

STREAMLINING POST-AWARD MONITORING WITH A WEB-BASED FINANCIAL MANAGEMENT DASHBOARD

To improve Post-Award and other financial management, the Department of Medicine at the University of Wisconsin, Madison created a web accessible dashboard for department administrators and accountants, dean’s office, and central sponsored research office staff. The dashboard provides a customized work list for the individual user to prioritize and manage work-flows; facilitates communication between the department and the central sponsored research office; standardizes the award closeout process and automates certain manual processes; tracks non-financial sponsor required deliverables; stores correspondence and historical information in a single integrated system; and provides management reports to assess portfolio performance. This session will demonstrate the dashboard and discuss its performance improvement impact.

(TAGS: Process Improvement; Reporting & Metrics)

LEARNING OBJECTIVES

• Participants will learn about some of the challenges and benefits associated with creating a dashboard geared towards administrators.
• Participants will develop an understanding of how to involve department and central office staff in a meaningful way to develop tools especially for them.
• Participants will learn how financial administrators and software developers can work collaboratively to develop a powerful management tool.
• Participants will view a demonstration of the dashboard.

PREREQUISITE: Participants should have a basic understanding of post-award monitoring practices at their institution.

Ronald Ravel*, Associate Director, Business Services, Department of Medicine, University of Wisconsin-Madison
Dana Coshenet, Accountant, Department of Medicine, University of Wisconsin-Madison

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- The Role of Research Administration
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- OMB A-110 Mini-Guide
- OMB A-133 Mini-Guide
- OMB Uniform Guidance

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* Lead faculty
This session may also be of interest to participants in the following area: Human Capital

**PICKLES, BINDS, AND HARD PLACES: HOW TO MANAGE FROM THE MIDDLE**

Departmental research administrators often feel the push and pull of responsibility and responsiveness to several competing voices. This can put DRAs in the middle of potentially uncomfortable negotiation or prioritization situations. When PIs are being stubborn, pushy, or intimidating, where can DRAs take opportunities to become a valuable resource and asset? This session aims to discuss how and when to push back on or educate PIs, central office administrators, or even sponsors! When is it appropriate to do so, where do you need to push, and how do you know? This session will also give tips about how to know the difference so DRAs are facilitating a compromise rather than feeling stuck in the middle.

( TAGS: Career Development; Infrastructure Development; Process Improvement)

**ADDITIONAL COMPENSATION AND SUMMER SALARY UNDER THE UG**

This session will review the costs considered, “additional compensation” and summer salary, and examine related applicable requirements and/or limitations as defined by the UG.

( TAGS: Budgeting/Forecasting; Policy Development; Uniform Guidance)

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**LEARNING OBJECTIVES**

- Participants will gain insights on common situational hazards that departmental research administrators face in working with faculty and managing funding portfolios.
- Participants will learn strategies to navigate policy and regulatory conversations with faculty.
- Participants will learn methods to become an advocate and ally to faculty.

**PREREQUISITE:** Participants should have working knowledge of departmental research administration.

*Keron Hopkins*, Grants and Contracts Administrator, Office of Research Services, University of Missouri-Kansas City

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**LEARNING OBJECTIVES**

- Participants will be able to recognize the forms of compensation.
- Participants will be able to locate, in the UG, the guiding principles on the treatment of compensation.
- Participants will be able to examine the UG’s principles on compensation to determine, based on the form of compensation, the proper treatment.

**PREREQUISITE:** Participants should have a basic understanding of the Uniform Guidance.

*Csilla Csaplár*, Director of Administration and Finance, Geophysics, Stanford University

*Vanessa Quiroz Hotz*, Manager of Accounting and Analytics, University of Washington

*Megan Dietrich*, Team Lead, Engineering Research Administration, Stanford University

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* Lead faculty
This session may also be of interest to participants in the following area: Compliance, Departmental

**CUSTOMER SERVICE: HOW TO SUPPORT FACULTY**
Day in, day out Research Administrators interact with brilliant faculty at their most stressful times. This session aims to help hone customer service skills to make every interaction easier for the Research Administrator and more satisfying for customers. Topics include: Dealing with Conflict and Confrontation, Writing Effective Emails, How to Listen Well and Emailing Effectively.

*(TAG: Career Development)*

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**LEARNING OBJECTIVES**
- Participants will be able to recognize the importance of treating faculty as your customer and providing consistent service.
- Participants will gain knowledge of the four different communication styles and how to utilize that knowledge to improve the customer service you provide.
- Participants will learn tips and techniques for communicating with angry or upset faculty.

**PREREQUISITE:** None

Emily Linde*, Deputy Director, Grants Management, National Institute of Allergy and Infectious Diseases (NIAID), National Institutes of Health

Donna R. Sullivan, Branch Chief, Grants Management Program, National Institute of Allergy and Infectious Diseases (NIAID), National Institutes of Health

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**INTERNATIONAL**

**Program Level:** Overview

This session may also be of interest to participants in the following area: Human Capital

**RESEARCH ADMINISTRATOR EXCHANGES: TIPS ON HOW TO WORK ABROAD**
This session will discuss the different options available to Research Administrators that combine your job with international travel and professional development. We will outline different fellowship opportunities available, how to apply for the NCURA-ARMS fellowship, and what review panels look for in applications. The discussion will also include recent fellowship experiences at an international university from both the host institution and the fellowship recipient’s point of view.

*(TAGS: Career Development; Federal Regulation; Non-financial Post-Award)*

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**LEARNING OBJECTIVES**
- Participants will discover the different international fellowship opportunities.
- Participants will learn how to complete a successful application.
- Participants will learn the benefits of an international fellowship experience.

**PREREQUISITE:** None

Jill Frankenfield*, Associate Director, Office of Research Administration, University of Maryland, College Park

Julie Ward, International Research Manager, Division of Research, The University of New South Wales

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**VIRTUAL SESSION**

This session may also be of interest to participants in the following area: Project Accounting

**NIH/NI AID FEDERAL AGENCY PERSPECTIVE ON INTERNATIONAL PROJECTS: OPPORTUNITIES AND RISKS**
As research becomes more global, international collaborations become more necessary. This session will discuss administrative issues and concerns faced when partnering with international organizations. Are there additional issues that are unique to resource poor countries?

*(TAGS: Federal Regulation; Policy Development; Process Improvement)*

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**LEARNING OBJECTIVES**
- Participants will be able to identify administrative issues and solutions for partnering with international organizations.

**PREREQUISITE:** None

Emily Linde*, Deputy Director, Grants Management Program, National Institute of Allergy and Infectious Diseases (NIAID), National Institutes of Health

Donna R. Sullivan, Branch Chief, Grants Management Program, National Institute of Allergy and Infectious Diseases (NIAID), National Institutes of Health

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* Lead faculty
This session may also be of interest to participants in the following area: Systems/Emerging Technologies

WHEN THE BUSINESS IS IN THE DRIVER’S SEAT: MAXIMIZING YOUR IT SYSTEMS FOR RESEARCH

Academic Medical Centers often rely on information technology systems to support the administration of research activities. The ability to access the clinical data available in Electronic Health Record (EHR) systems and leverage these data within the research enterprise requires integration between the EHR and a Clinical Research Management System (CRMS). Implementation of a CRMS supports the standardization of workflows across the research enterprise and supplies transparency into all clinical research activities. Additional interfaces with other research systems reduces the double-entry of data and offers the opportunity to perform and document study feasibility prior to IRB submission by utilizing available workflows. Combining financial, scientific merit, enrollment and other essential research data within a research management system improves efficiency and allows a streamlined measurement of clinical research performance. This workshop will focus on sharing lessons learned from implementing interfaced EHR and CRMS systems. These lessons include how to identify priorities and develop an implementation strategy, how to collaborate across the institution and with vendors, as well as overcoming the expected challenges that arise when implementing IT systems across an institution.

(TAGS: Clinical Trials/Clinical Research; Process Improvement)

LEARNING OBJECTIVES

• Participants will have a better understanding of how to set priorities when implementing systems.
• Participants will have a better understanding of how to plan for workflows, data migration, testing and training.
• Participants will have a better understanding of technical, stakeholder and logistical challenges.

PREREQUISITE: Participants should have an intermediate level of understanding of clinical trials. This session will build on standard operating procedures and best practices.

Denise C. Snyder*, Associate Dean for Clinical Research, School of Medicine, Duke University
Cory L. Ennis, Associate Dean for Clinical Research, Duke Office Clinical Research, School of Medicine, Duke University

This session may also be of interest to participants in the following areas: Compliance, Sponsored Project Accounting

SURVIVING AN AGENCY AUDIT AT A PUI FROM EVERY ANGLE

At any given time an institution can receive notification of an agency audit. Often times hearing the word audit can evoke fear. There are a multitude of reasons an agency audit can be occur, most often, the purpose is to determine whether the institution’s accounting records are in accordance with GAAP, OMB Circulars, adequate internal controls are in place, and to ensure the specific requirements of the agency are being met. Often times, the finance or accounting department is responsible for answering the questions when an audit finding arises. The best way to survive an agency audit is to make certain all the key players are on the same page and speak the same language.

(TAGS: Infrastructure Development; Process Improvement)
2:45 – 3:45 pm | CONCURRENT SESSIONS CONTINUED

Sponsored Project Accounting • Program Level: Basic

This session may also be of interest to participants in the following area: Departmental

MANAGING A NASA AWARD – TO INFINITY AND BEYOND!

Is your University ready to explore the next frontier? This session will provide an overview of the lifecycle of a NASA award and how they differ from other federally sponsored projects. Compared to other federal agencies, NASA grants and contracts have unique requirements including reporting, terms and conditions, and managing change requests. Multiple case studies will be utilized and best practices shared that will benefit anyone new to managing NASA awards.

(TAGS: Billing/Invoicing; Budgeting/Forecasting; Reporting & Metrics)

LEARNING OBJECTIVES

• Participants will discuss the lifecycle of a NASA award.
• Participants will have a better understanding of the differences between a NASA grant and contract.
• Participants will have a better understanding of how and when to utilize the NASA Shared Service Center.
• Participants will discuss light missions vs. standard research grants.

PREREQUISITE: None

Nicholas Petersen*, Grant and Contract Principal, Office for Research and Sponsored Projects Administration, Arizona State University

Michael Fitzgerald, Grant and Contract Specialist, Office for Research and Sponsored Projects Administration, Arizona State University

Sponsored Project Accounting • Program Level: Advanced

SUBRECIPIENT MONITORING: A LEARNING LAB

Evaluating subrecipient audits, financial questionnaires, & related topics: While Subpart D of the Uniform Guidance lists the responsibilities of pass-through entities, discussion of these requirements and their implementation often understandably focuses on newer elements, like risk assessment. This learning lab will instead focus on what is perhaps the most classic of PTE tasks: evaluating an institution’s single (or other) audit. Our session will also touch on how audit evaluation and risk assessment inform one another--and in turn relate to subrecipient monitoring--using the key information disclosed in audits as a point of entry. Contributions of participant knowledge encouraged, and administrators of all positions welcome!

(TAGS: Policy Development; Process Improvement)

LEARNING OBJECTIVES

• Participants will learn how to find and read subrecipient single audits (and other formal audits or questionnaires).
• Participants will understand review and documentation best practices.
• Participants will learn to share and discuss processes.
• Participants will be able to identify connections between audit review, risk assessment, and monitoring.

PREREQUISITE: Participants should obtain and review their institution’s single audit in some detail prior to the session. Prior experience evaluating another institution’s single audit--and with how audit evaluation, risk assessment, and subrecipient monitoring inform one another is beneficial.

Sara Clough*, Grants & Contracts Specialist, Sponsored Projects Award Office, University of Texas at Austin

Robert Prentiss, Senior Grants & Contracts Specialist, Sponsored Projects Award Office, University of Texas at Austin

* Lead faculty
This session may also be of interest to participants in the following areas: Medical/Hospital, Sponsored Project Accounting

**BASICS OF F&A – A UNIVERSITY PERSPECTIVE**

Colleges and universities receiving direct federal awards are typically required to prepare, submit and negotiate a facilities and administrative (“F&A”) cost rate in order to receive reimbursement for indirect costs. For most people, the F&A calculation appears overly technical and painfully detailed. This session is intended for anyone who is new to the F&A process or would simply like to better understand the basic requirements, inputs and objectives that make up this calculation. Discussion session will include a high-level perspective regarding how the regulations, financial and other data inputs, and submission and negotiation processes work together and will provide practical insight into the application of the F&A rate to the organization’s awards. We will also discuss the impact the new Uniform Guidance will have on preparing and negotiating F&A rates and what participants are doing to prepare for these changes.

Alex P. Weeke*, Principal, ML Weekes & Company, PC

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**HOW TO MANAGE A FINANCIALLY FOCUSED UNIVERSITY RESEARCH AUDIT EFFECTIVELY**

**AUTHORS:**
ASHLEY DEIHR, CPA, CIA, CFE, Senior Manager, Baker Tilly
KIMBERLY GINN, CIA, Partner, Baker Tilly
JEFFREY SILBER, Senior Director of Sponsored Finance, Cornell University

This new comprehensive publication covers all aspects of the audit process from the pre-award preparation, notification, roles and responsibilities, scope, entrance conference, field work, exit conference, final report, to audit resolution and follow-up. Includes references and resources and over 30 tips from seasoned experts. (30 pages, PDF).

Download a copy today at NCURA’s Online Learning Center https://onlinelearning.ncura.edu/
**AGENDA**

**2:45 – 3:45 pm | DISCUSSION GROUPS CONTINUED**

**Human Capital**

**JOHSTRESS AND THE RESEARCH ADMINISTRATOR**
Discussion on job stressors and our role as Research Administrators. The group will identify the stressors and brainstorm how we can better handle the daily stressors of the job. We will share research on stress and how it can affect our health, and best practice tips from research literature.

Lori Benjamin*, Senior Research Administrator, The Wellman Center for Photomedicine, Massachusetts General Hospital
Dimitrios V. Pashos, Senior Research Administrator, Department of Psychiatry, Brigham & Women’s Hospital

**WHY LACK OF COMMUNICATION IS BAD BUSINESS PRACTICE**
This discussion session will cover the ins and outs of various scenarios that arise when there is a communication breakdown. What are the outcomes the organization will experience because of lack of communication? You will not want to miss this interactive discussion group.

Venita Lowe*, Department Administrator, Research Department, Case Western Reserve University
Jennifer Hawkins, Department Administrator for the Vice Dean for Medical Education, School of Medicine, Case Western Reserve University

**International**

This session may also be of interest to participants in the following areas: Compliance, Sponsored Project Accounting

**AUDIT ISSUES FOR INTERNATIONAL SUBRECIPIENTS**
Many international subrecipients face challenges in audit requirements for the US Federal grants. The road to single audit is long for most entities and interim audit solutions are not always clear nor perfect. This session gives insights to the audit requirements from an international subrecipient horizon, challenges, opportunities and the rising ambition of a Nordic university.

Daniel Bergvall*, Financial Manager, Grants Office Research Support Office, Karolinska Institutet
Anna-Karin Consoli, EU/US Financial Manager, Karolinska Institutet

**Systems/Emerging Technologies**

**PITFALLS OF TECHNOLOGY FOR TECHNOLOGY SAKE**
Have you ever looked at a technology solution and wondered “why do we need this”? This discussion group is intended to facilitate conversation and ideas to prevent you from asking that question ever again. In this time of various systems upgrades, new implementations and new development, it is important to know what you are trying to achieve with a system and determine if you really need a system to achieve that goal. Participants will understand the difference between a business process need and a technology need. Join us in thinking about new development in concert with business needs and risks.

Marissa Yessis*, Associate Director for the Office of Post Award Financial Management, University of California, San Diego
**AGENDA**

### 2:45 – 3:45 pm | SPARK SESSIONS

<table>
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<tr>
<th>2:45 – 3:05 pm</th>
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<tbody>
<tr>
<td><strong>MEDITATION FOR STRATEGIC THINKING</strong></td>
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<td>Tara E. Bishop*, Deputy Chief Executive, National Council of University Research Administrators</td>
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<th>3:15 – 3:45 pm</th>
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<tr>
<td><strong>HOW TO HIRE THE RIGHT PERSON; EQUIVALENT COMBINATION OF RESEARCH AND FINANCE</strong></td>
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<tr>
<td>Mary Anne Hinkson*, Vice President, Research Operations, MedStar Health Research Institute</td>
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### 3:45 PM | CONFERENCE ADJOURNS

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**I have $1,500 in my training budget...**

**HOW CAN I DELIVER COMPREHENSIVE TRAINING FOR MY STAFF?**

**ONLINE VIDEO WORKSHOP SERIES**

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* Lead faculty
Education Sessions by track
## Education Sessions by track

### COMPLIANCE

**Sunday, March 12, 2017**

**CONCURRENT SESSIONS**

<table>
<thead>
<tr>
<th>Time</th>
<th>Session</th>
</tr>
</thead>
</table>
| 10:15 – 11:30 am | The Art of Herding Cats: Training Faculty on Federal Financial Compliance  
                   | Public and Private Universities and Hospitals – Major Differences to Keep in Mind to Successfully Manage Collaborative Projects |
| 2:45 – 3:45 pm  | NSF’s Audit Resolution Process and Advanced Monitoring Efforts         |
| 4:00 – 5:00 pm  | Subrecipient Monitoring Panel Discussion                                |

**DISCUSSION GROUPS**

<table>
<thead>
<tr>
<th>Time</th>
<th>Session</th>
</tr>
</thead>
<tbody>
<tr>
<td>1:00 – 2:15 pm</td>
<td>An Update on NSF Cash Management</td>
</tr>
<tr>
<td>2:45 – 3:45 pm</td>
<td>Internal Audit’s Role in Evaluating Research Administration Compliance</td>
</tr>
<tr>
<td>4:00 – 5:00 pm</td>
<td>Managing Project Closeout Effectively</td>
</tr>
</tbody>
</table>

**Monday, March 13, 2017**

**CONCURRENT SESSIONS**

<table>
<thead>
<tr>
<th>Time</th>
<th>Session</th>
</tr>
</thead>
<tbody>
<tr>
<td>8:15 – 9:45 am</td>
<td>Alternatives to Effort Reporting: Design and Implementation</td>
</tr>
<tr>
<td>10:15 – 11:30 am</td>
<td>Mind the Strings: Promoting a Compliance Mindset</td>
</tr>
<tr>
<td>1:00 – 2:15 pm</td>
<td>Long Form F&amp;A Rate Negotiations</td>
</tr>
<tr>
<td>2:45 – 3:45 pm</td>
<td>How to Effectively Manage an Audit</td>
</tr>
</tbody>
</table>

**DISCUSSION GROUPS**

<table>
<thead>
<tr>
<th>Time</th>
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</thead>
<tbody>
<tr>
<td>2:45 – 3:45 pm</td>
<td>Basics of F&amp;A – A University Perspective</td>
</tr>
</tbody>
</table>

* Lead faculty
DEPARTMENTAL

Sunday, March 12, 2017

CONCURRENT SESSIONS

10:15 – 11:30 am  Key Responsibilities for the Departmental Administrator from RFP to Closeout
F&A Rate Overview for University Administrators: Ways to Maximize Recovery

1:00 – 2:15 pm  Managing Multi-Component Research Projects from Proposal to Award Closeout

2:45 – 3:45 pm  There are Zero Shades of Gray in Compliance: Could Your Department be at Risk?
Overcoming Five Dysfunctions of a Departmental Team

4:00 – 5:00 pm  Labor Rates and Budgeting: FLSA and Minimum Wage Increases and the Impact on the Researcher

DISCUSSION GROUPS

1:00 – 2:15 pm  Effective Communications

4:00 – 5:00 pm  Overcoming Five Dysfunctions of a Departmental Team (follow-up to concurrent session held at 2:45 pm)

Monday, March 13, 2017

CONCURRENT SESSIONS

8:15 – 9:45 am  Multi-project Grants Management

10:15 – 11:30 am  Audit-Proof Your Department

1:00 – 2:15 pm  Department Administrator’s Bootcamp

2:45 – 3:45 pm  Streamlining Post-Award Monitoring with a Web-based Financial Management Dashboard
Pickles, Binds, and Hard Places: How to Manage from the Middle

DISCUSSION GROUPS

10:15 – 11:30 am  Multi-project Grants Management (follow-up to concurrent session held at 8:15 am)

1:00 – 2:15 pm  Collaborations that Work, Instead of Just Making More Work!
## FEDERAL

### Sunday, March 12, 2017

**CONCURRENT SESSIONS**

<table>
<thead>
<tr>
<th>Time</th>
<th>Session</th>
</tr>
</thead>
<tbody>
<tr>
<td>10:15 – 11:30 am</td>
<td>OMB Update</td>
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</table>

### Monday, March 13, 2017

**CONCURRENT SESSIONS**

<table>
<thead>
<tr>
<th>Time</th>
<th>Session</th>
</tr>
</thead>
<tbody>
<tr>
<td>8:15 – 9:45 am</td>
<td>Research Terms and Conditions: Status of the Federal-Wide Initiative</td>
</tr>
<tr>
<td>10:15 – 11:30 am</td>
<td>Federal Research Policy Update</td>
</tr>
<tr>
<td>1:00 – 2:15 pm</td>
<td>NSF Update</td>
</tr>
<tr>
<td>2:45 – 3:45 pm</td>
<td>Additional Compensation and Summer Salary Under the UG for the PUI</td>
</tr>
</tbody>
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**NCURA’s TRAVELING WORKSHOPS**

**May 22-24, 2017**

**Baltimore, MD**

Renaissance Baltimore Harborplace Hotel

**Register now open!**

- ✔ Level I: Fundamentals of Sponsored Projects Administration
- ✔ Level II: Sponsored Projects Administration Workshop - *Critical Issues in Research Administration*
- ✔ Financial Research Administration Workshop
## Education Sessions

**HUMAN CAPITAL**

### Sunday, March 12, 2017

<table>
<thead>
<tr>
<th>Time</th>
<th>Session</th>
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</thead>
<tbody>
<tr>
<td>10:15 – 11:30 am</td>
<td>Best Practices to Reduce Faculty &amp; Administrative Burden</td>
</tr>
<tr>
<td>1:00 – 2:15 pm</td>
<td>What in the World is that Research Administrator SAYING??</td>
</tr>
<tr>
<td>2:45 – 3:45 pm</td>
<td>Life Lessons in Persuasion and Positive Thinking for the Research Administrator</td>
</tr>
<tr>
<td>4:00 – 5:00 pm</td>
<td>Practical Tools and Approaches for Process Redesign</td>
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<tr>
<td></td>
<td>Kickstart Your Interprofessional Competency!</td>
</tr>
</tbody>
</table>

### DISCUSSION GROUPS

<table>
<thead>
<tr>
<th>Time</th>
<th>Group</th>
</tr>
</thead>
<tbody>
<tr>
<td>10:15 – 11:30 am</td>
<td>Managing Expectations</td>
</tr>
<tr>
<td>1:00 – 2:15 pm</td>
<td>Working Across Generations</td>
</tr>
<tr>
<td>2:45 – 3:45 pm</td>
<td>Supercharge Your Team with Interprofessional Collaborative Practice Activities</td>
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</tbody>
</table>

### Monday, March 13, 2017

<table>
<thead>
<tr>
<th>Time</th>
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</thead>
<tbody>
<tr>
<td>8:15 – 9:45 am</td>
<td>Managing Up with Emotional Intelligence</td>
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<tr>
<td></td>
<td>Leveraging Employee Aptitudes to Deliver Excellent Research Services (LEADERS)</td>
</tr>
<tr>
<td>10:15 – 11:30 am</td>
<td>The Three Rs: Recruiting, Retaining, and Releasing</td>
</tr>
<tr>
<td>1:00 – 2:15 pm</td>
<td>Performance Management for Managers</td>
</tr>
<tr>
<td>2:45 – 3:45 pm</td>
<td>Customer Service: How to Support Faculty</td>
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</tbody>
</table>

### DISCUSSION GROUPS

<table>
<thead>
<tr>
<th>Time</th>
<th>Group</th>
</tr>
</thead>
<tbody>
<tr>
<td>10:15 – 11:30 am</td>
<td>Deadlines: How to Make Everyone Step Up</td>
</tr>
<tr>
<td>2:45 – 3:45 pm</td>
<td>Job Stress and the Research Administrator</td>
</tr>
<tr>
<td></td>
<td>Why Lack of Communication is Bad Business Practice?</td>
</tr>
</tbody>
</table>
## INTERNATIONAL

### Sunday, March 12, 2017

**CONCURRENT SESSIONS**

- **10:15 – 11:30 am**  
  Managing International Projects: Structuring Financial Oversight to Achieve Compliance and Programmatic Goals

- **1:00 – 2:15 pm**  
  An International Perspective on Developing an Infrastructure to Manage Awards  
  Understanding the U.S. Sub-award Process

- **2:45 – 3:45 pm**  
  Export Controls for the Financial Research Administrator. Yes, this Affects You Too!

- **4:00 – 5:00 pm**  
  Operational Issues for Operating in an International Site

**DISCUSSION GROUPS**

- **10:15 – 11:30 am**  
  Merging Different Worlds: Strategies for Reducing the Administrative Burdens Related to International Research

- **2:45 – 3:45 pm**  
  Professional Development Opportunities for Research Administrators in the International Arena

### Monday, March 13, 2017

**CONCURRENT SESSIONS**

- **8:15 – 9:45 am**  
  Leadership at the Nexus of Financial Research Administration/Post-award Activities  
  Comparing Full Costing for EU vs. US Indirect Cost Practice

- **10:15 – 11:30 am**  
  Financial Dimensions of International Projects: Panel Discussion of a Cross Section of Institutions with Varying Resources and Issues

- **1:00 – 2:15 pm**  
  Managing an International Center

- **2:45 – 3:45 pm**  
  Research Administrator Exchanges: Tips on How to Work Abroad  
  NIH/NIAID Federal Agency Perspective on International Projects: Opportunities and Risks

**DISCUSSION GROUPS**

- **8:15 – 9:45 am**  
  Hot Topics in Global Research Administration

- **1:00 – 2:15 pm**  
  Institutional Models for Managing International Research: Engaging Various Offices, Committees

- **2:45 – 3:45 pm**  
  Audit Issues for International Subrecipients
## MEDICAL / HOSPITAL

### Sunday, March 12, 2017

<table>
<thead>
<tr>
<th><strong>CONCURRENT SESSIONS</strong></th>
<th>10:15 – 11:30 am</th>
<th>What Do the Changes in the Common Rule NPRM Mean for Your Research Program</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1:00 – 2:15 pm</td>
<td>Integrating Evaluation and Process Improvement into the Research Enterprise</td>
</tr>
<tr>
<td></td>
<td>2:45 – 3:45 pm</td>
<td>Building a Sustainable Clinical Research Program Using Lean Principles</td>
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<tr>
<td></td>
<td>4:00 – 5:00 pm</td>
<td>Hot Topics and Trends in Clinical Research</td>
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<td></td>
<td></td>
<td>What You Need to Know: Clinical Research Revenue Cycle Management (from Budgeting to 3rd Rejections)</td>
</tr>
</tbody>
</table>

### DISCUSSION GROUPS

<table>
<thead>
<tr>
<th>10:15 – 11:30 am</th>
<th>Denials Management: Sponsor Payments for Gaps in Patient Coverages</th>
</tr>
</thead>
<tbody>
<tr>
<td>2:45 – 3:45 pm</td>
<td>Tips for Supporting Clinical Research Faculty</td>
</tr>
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</table>

### Monday, March 13, 2017

<table>
<thead>
<tr>
<th><strong>CONCURRENT SESSIONS</strong></th>
<th>8:15 – 9:45 am</th>
<th>ClinicalTrials.gov Reporting - HHS Final Rule and NIH Policy</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>10:15 – 11:30 am</td>
<td>How to Partner with/Engage All Stakeholders in the Research Enterprise</td>
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<tr>
<td></td>
<td>1:00 – 2:15 pm</td>
<td>Clinical Research Billing vs. Sponsor Billing for Clinical Research</td>
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<td>2:45 – 3:45 pm</td>
<td>When the Business is in the Driver’s Seat: Maximizing Your IT Systems for Research</td>
</tr>
</tbody>
</table>

### DISCUSSION GROUPS

<table>
<thead>
<tr>
<th>8:15 – 9:45 am</th>
<th>Innovative Ways to Partner with Industry, Advocacy Groups, Community, and Foundations to Support Research</th>
</tr>
</thead>
<tbody>
<tr>
<td>10:15 – 11:30 am</td>
<td>Staffing Models: How to Right Size Your Research Program?</td>
</tr>
<tr>
<td>1:00 – 2:15 pm</td>
<td>Enterprise Solutions for Clinical Trial Billing: People, Process and Tools!</td>
</tr>
</tbody>
</table>
### Education Sessions by track

#### PREDOMINANTLY UNDERGRADUATE INSTITUTIONS

**Sunday, March 12, 2017**

<table>
<thead>
<tr>
<th>Time</th>
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<tbody>
<tr>
<td>10:15 – 11:30 am</td>
<td>International Collaborations for the PUI</td>
</tr>
<tr>
<td>1:00 – 2:15 pm</td>
<td>Fixed Price vs. Cost Reimbursement for the PUI</td>
</tr>
<tr>
<td></td>
<td>Getting your PUI Ready for Federal Contracts</td>
</tr>
<tr>
<td>4:00 – 5:00 pm</td>
<td>Closeout Procedures Under the Uniform Guidance</td>
</tr>
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**DISCUSSION GROUPS**

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<tr>
<td>10:15 – 11:30 am</td>
<td>Risk Assessment for a PUI</td>
</tr>
<tr>
<td>2:45 – 3:45 pm</td>
<td>Using Your F&amp;A Proposal for Financial and Space Strategic Planning</td>
</tr>
<tr>
<td>4:00 – 5:00 pm</td>
<td>Balancing Customer Service while Maintaining Compliance at a PUI</td>
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<tr>
<td>8:15 – 9:45 am</td>
<td>Establishing and Modifying Internal Controls</td>
</tr>
<tr>
<td>10:15 – 11:30 am</td>
<td>Building Research Operations from the Ground Up</td>
</tr>
<tr>
<td>1:00 – 2:15 pm</td>
<td>Fringe Benefit Rates: The How to Guide for the PUI</td>
</tr>
<tr>
<td>2:45 – 3:45 pm</td>
<td>Surviving an Agency Audit at a PUI from Every Angle</td>
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**DISCUSSION GROUPS**

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<td>8:15 – 9:45 am</td>
<td>Shared Checklists for PUIs</td>
</tr>
<tr>
<td>1:00 – 2:15 pm</td>
<td>Accounting for Cost Sharing at a PUI</td>
</tr>
<tr>
<td>10:15 – 11:30 am</td>
<td>Establishing Roles and Responsibilities at your PUI</td>
</tr>
</tbody>
</table>
SPONSORED PROJECT ACCOUNTING

Sunday, March 12, 2017

CONCURRENT SESSIONS
10:15 – 11:30 am  What is My Balance? Northwestern University Research Portal– A One-Stop-Shop for Research Administration
1:00 – 2:15 pm    How to Keep the Cash Flowing
                  Utilizing Electronic Systems for Audit Defense & UG Internal Controls Across the Lifecycle of an Award
                  Discovering the Best Organization Model and How to Implement: The Process at UCSF
2:45 – 3:45 pm    Communicating with Faculty about Compensation Charges: Easy as a San Diego Ocean Breeze!
4:00 – 5:00 pm    How to Discuss F&A Rates with Upper Administration
                  The Compliance Supplement and the First Single Audit Under the Uniform Guidance, Subpart F

DISCUSSION GROUPS
10:15 – 11:30 am  Thinking of Your Cost Transfer Process Through a COSO Lens
1:00 – 2:15 pm    Indirect Cost Rate Negotiation
4:00 – 5:00 pm    Conducting Space Surveys for the F&A Rate Proposal

Monday, March 13, 2017

CONCURRENT SESSIONS
8:15 – 9:45 am  Award Management/Award Closeout – Project Redesign – Implementation Strategies for Success
10:15 – 11:30 am  Fostering a Compliance Mindset
1:00 – 2:15 pm    Accounting for Service Centers: Advanced Topics
2:45 – 3:45 pm    Subrecipient Monitoring: a Learning Lab
                  Managing a NASA Award – to Infinity and Beyond!

DISCUSSION GROUPS
8:15 – 9:45 am  The Perception of F&A
10:15 – 11:30 am  Internal Controls
1:00 – 2:15 pm    Lessons Learned: Animal Rate Setting at Joslin Diabetes Center
## Education Sessions by track

### SYSTEMS/EMERGING TECHNOLOGIES

**Sunday, March 12, 2017**

#### CONCURRENT SESSIONS

<table>
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<tr>
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<tbody>
<tr>
<td>10:15 – 11:30 am</td>
<td>Preparing for the Bonfire: Creating a Paperless Office</td>
</tr>
<tr>
<td>1:00 – 2:15 pm</td>
<td>Using Analytics to Manage Your Grants Management Business from Proposal to Space</td>
</tr>
<tr>
<td>2:45 – 3:45 pm</td>
<td>Data, Data, Data...Databases, Data Warehouses, Data Analytics!</td>
</tr>
<tr>
<td></td>
<td>Service Centers – Data Needs and Impacts on Other Operations</td>
</tr>
<tr>
<td>4:00 – 5:00 pm</td>
<td>Taking Control of Research Process</td>
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#### DISCUSSION GROUPS

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<td>1:00 – 2:15 pm</td>
<td>Data: Don’t Let it be Just a 4 Letter Word</td>
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<tr>
<td>4:00 – 5:00 pm</td>
<td>Service Centers – Data Needs and Impacts on Other Operations (follow-up to concurrent session held at 2:45 pm)</td>
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<td>FISMA, NIST, and Regulated Data</td>
</tr>
<tr>
<td>10:15 – 11:30 am</td>
<td>Beyond the Desktop: Electronic Tools in the Workplace</td>
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<td>The Path to Data Access in a Centralized Organization</td>
</tr>
<tr>
<td>1:00 – 2:15 pm</td>
<td>Is My Institution Ready for an ERA System</td>
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<td></td>
<td>The FDP Expanded Clearinghouse: Facilitating Subrecipient Monitoring via on-line Organization Profiles</td>
</tr>
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<tr>
<td>8:15 – 9:45 am</td>
<td>Modern Reports &amp; Dashboards: More Than Just Numbers</td>
</tr>
<tr>
<td>2:45 – 3:45 pm</td>
<td>Pitfalls of Technology for Technology Sake</td>
</tr>
</tbody>
</table>
NCURA is offering a certificate program during the FRA Conference, March 11-13, 2017. Registrants for the conference can pick one track to earn a certificate in. You cannot earn multiple certificates during one conference. There are 8 time slots during the conference. Participants must attend 5 sessions in their certificate area, and the other 3 sessions are considered electives and can be in any track.

**STEPS TO PARTICIPATE:**

- Register for the conference. *There is no additional fee to request a certificate.*
- Identify your focus track. Session lists and times and worksheets to track your certificate are available at: [www.ncura.edu/fra/Education/CertificateProgram.aspx](http://www.ncura.edu/fra/Education/CertificateProgram.aspx)
- Attend one eligible concurrent session or discussion group during each of the 8 timeslots. At least 5 of the 8 sessions must be in your focus track. For the remaining 3 time slots, you can choose from your focus track, or from another area of interest. You will record your sessions and submit online. The URL will be included on the worksheet you will use to keep track of your sessions on site at the conference.
- Complete your certificate request electronically by March 31. Requested certificates will be issued in mid-April.

**THE FOLLOWING FOCUS TRACKS ARE AVAILABLE FOR FRA 2017.**

- ✔ Compliance
- ✔ Departmental
- ✔ Human Capital
- ✔ International
- ✔ Medical/Hospital
- ✔ Sponsored Project Accounting
- ✔ Systems/Emerging Technologies
See the latest issue of our online scholarly journal

Research Management Review | Volume 21, Number 1

- Longitudinal Assessment of International Investment in U.S. University Research & Development
  Gai L. Doran, Yale University

- Evaluation of the Pilot Mentoring Program at the Research Foundation for SUNY
  Amy Henderson-Harr, State University of New York College at Cortland; Kathleen Caggiano-Siino, Research Foundation for SUNY; Ashlee Prewitt, Binghamton University

- Research Managers at Jamaica’s National University are Strategically Deploying a Modest Research Development Fund in Support of Impactful Research
  Paul W. Ivey, University of Technology, Jamaica; Martin Henry, University of Technology, Jamaica

- Disclosure, Evaluation and Management of Financial Conflict of Interest in Research
  Winona Ward and Carolyn Strong, University of Central Florida

- Return on Investment and Grants: A Review of Present Understandings and Recommendations for Change
  Michael Preuss, Hanover Research

- Monitoring Financial Conflict of Interest
  Lorraine Hickson, Celebration Health Research Institute at Florida Hospital

- STEM Faculty and Indirect Costs: What Administrators Need to Know
  Susan Gossman, Northern Illinois University

- BOOK REVIEW - Change Leadership in Higher Education: A Practical Guide to Academic Transformation
  Sheila T. Lischwe, Clemson University

www.ncura.edu/PublicationsStore/ResearchManagementReview.aspx