A constant in our professional lives is that we can count on NCURA to provide programming to help us meet the demands of “just another day in the office.” We’re proud to say that the Financial Research Administration (FRA) 2015 meeting will be no exception. As co-chairs, we’ve been fortunate to return to the fantastic venue of the Walt Disney World Swan and Dolphin Hotels in Florida. The Swan and Dolphin provides first class meeting spaces, comfortable lodging, and plenty of opportunities to enjoy the Orlando area during the off-hours, before and after the conference. The site is bested only by the sessions brought together by your peers on our ace program committee. The committee has developed over 130 sessions, with something for all levels of experience. We’ve focused on four broad areas: Costing/F&A, Audit/Compliance, Post-Award/Operations, and Medical/Clinical Issues. Within the tracks, we will have “flavors” of sessions to meet the needs of Research Institutions, Predominantly Undergraduate Institutions, Departments, and International Organizations. The Federal Updates and Communications/Human Capital tracks round out the tools for “just another day in the office.”

On behalf of the FRA 2015 program committee, we invite you to attend our meeting from March 5-7. Please take time out from just another day to join us in sunny Orlando, so you can return reinvigorated, refreshed, and ready for the challenges ahead. We look forward to seeing you there.

Best wishes from your conference co-chairs,

Charlene Blevens
University of Miami

Jeffrey Silber
Cornell University
PROGRAM COMMITTEE

CO-CHAIRS
Charlene Blevens
University of Miami
Jeffrey A. Silber
Cornell University

AUDIT/COMPLIANCE DEPARTMENTAL FOCUS
Ann M. Holmes
University of Maryland, College Park

INTERNATIONAL FOCUS
Missy Peloso
University of Pennsylvania

PREDOMINANTLY UNDERGRADUATE INSTITUTION FOCUS
W. Scott Erwin, Sr.
Texas State University

RESEARCH INTENSIVE FOCUS
Kay Ellis
University of Arizona
Patrick W. Fitzgerald
Harvard University

COSTING/F&A DEPARTMENTAL FOCUS
Heather M. Offhaus
University of Michigan – Ann Arbor

PRE-DOMINANTLY UNDERGRADUATE INSTITUTION FOCUS
W. Scott Erwin, Sr.
Texas State University

RESEARCH INTENSIVE FOCUS
Andres Chan
University of Southern California

FEDERAL UPDATE
Patricia A. Hawk
Oregon State University

MEDICAL/CLINICAL DEPARTMENTAL FOCUS
Randi E. Wasik
University of Washington

RESEARCH INTENSIVE FOCUS
F. John Case
Morehouse School of Medicine

POST-AWARD OPERATIONS DEPARTMENTAL FOCUS
Beth Seaton
University of Illinois at Chicago

INTERNATIONAL FOCUS
Norman J. Hebert
Brown University

PRE-DOMINANTLY UNDERGRADUATE INSTITUTION FOCUS
Kris A. Monahan
Providence College

RESEARCH INTENSIVE FOCUS
Rosemary E. Madnick
University of Alaska Fairbanks
Joseph M. Gindhart
Washington University in St. Louis

HUMAN CAPITAL
Joan Kanner
Johns Hopkins University
Roseann L. Luongo
Harvard University

PRE-CONFERENCE WORKSHOPS
Lisa E. Mosley
Arizona State University
Kerry Peluso
Emory University
Cathy Snyder
Vanderbilt University
Thank You
THANK YOU to the following sponsors for your generous support!

NCURA MEMBER SPONSORS

Evisions Research Suite
Huron Education

NCURA CONTRIBUTING SPONSORS

ATTAIN
BAKER TILLY
IT WORKS
JOHNS HOPKINS UNIVERSITY
KualiCo

FOLLOW US @NCURA #NCURAFRA16
GENERAL INFORMATION

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 at the end of the conference. 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 NCURAs FRA Conference. Field of study available is Specialized Knowledge and Applications (S).

CPE Credits will be available for concurrent sessions, workshops and senior level forums. Discussion groups and the Keynote Address are not eligible for CPE credits.

MAXIMUM CREDITS AVAILABLE:
11 CPEs: Conference Only
15 CPEs: Conference + ½ Day Workshop
19 CPEs: Conference + Full Day Workshop

Please Note: All Continuing Professional Education Credits (CPEs) will be issued by April 15th, 2015.

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 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.learningmarket.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 + ½ Day Workshop
19 Hours of Education: 1.9 CEUs: Conference + Full Day Workshop

Please note: All Continuing Education Units (CEUs) will automatically be sent to all registrants of the conference by April 15, 2015.

Session Definitions

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.

PRE-CONFERENCE WORKSHOPS (WS) 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 (SF) 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 encourage discussion and active participation by attendees.

* Please note – The Workshops and the Senior Forums are the only sessions taking place on March 5. There is an additional fee for Workshops and Senior Forums.

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

Overview of Session Program Levels/Key

A ADVANCED level sessions assume mastery of the subject and the sessions focus on in-depth knowledge or a broader range of topics. Sessions focus on mastering more difficult and complex scenarios.

B BASIC level sessions assume some fundamental research administration knowledge.

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

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

U UPDATE level sessions will provide a general review of new developments.
Wednesday, March 4, 2015
4:00 – 6:00 pm
FRA Concierge ....................... 28
Participant Materials Pick-up ...... 28

Thursday, March 5, 2015
7:30 am – 5:00 pm
FRA Concierge ....................... 28
Participant Materials Pick-up ...... 28
8:30 am – 5:00 pm
Pre-Conference Workshops and Senior Level Forums ............... 28
(Additional fee required to attend)
Noon – 1:30 pm
Pre-Conference Workshop Luncheon for Full Day
Pre-Conference Workshop Participants, Faculty and Evaluators ........ 28
5:30 – 6:15 pm
Networking Wine and Cheese Reception and Appy Hour! ........ 28

Friday, March 6, 2015
7:30 am – 5:00 pm
FRA Concierge ....................... 28
Participant Materials Pick-up ...... 28
Exhibits Open ....................... 28
NCURA Social Media Lounge ..... 28
7:30 – 8:15 am
Continental Breakfast .......... 28
Breakfast Roundtables .......... 28
8:15 – 9:45 am
Keynote Address ................. 29
9:45 – 10:15 am
Networking and Refreshment Break .......... 29
10:15 – 11:30 am
Concurrent Sessions .............. 29
Discussion Groups ............... 33
Spark Sessions .................... 35
11:30 am – 1:00 pm
Lunch ................................ 35
1:00 – 2:15 pm
Concurrent Sessions .............. 35
Discussion Groups ............... 40
Spark Sessions .................... 41
2:15 – 2:45 pm
Networking and Refreshment Break ........ 41
2:45 – 3:45 pm
Concurrent Sessions .............. 42
Discussion Groups ............... 47
Spark Sessions .................... 48
3:45 – 4:00 pm
Networking and Refreshment Break ........ 49
4:00 – 5:00 pm
Concurrent Sessions .............. 49
Discussion Groups ............... 54
Spark Session .................... 55
5:00 pm
NCURA Education Scholarship Fund Happy Hour Reception
Sponsored by Baker Tilly ........ 55
6:00 pm
Dinner Groups ..................... 55

Saturday, March 7, 2015
7:30 am – 3:45 pm
FRA Concierge ....................... 56
Participant Materials Pick-up ...... 56
Exhibits Open ....................... 56
NCURA Social Media Lounge ..... 56
7:30 – 8:15 am
Continental Breakfast .......... 56
Breakfast Roundtables .......... 56
8:15 – 9:45 am
Concurrent Sessions .............. 56
Discussion Groups ............... 61
Spark Sessions .................... 62
9:45 – 10:15 am
Networking and Refreshment Break .......... 62
10:15 – 11:30 am
Concurrent Sessions .............. 63
Discussion Groups ............... 69
Spark Sessions .................... 69
11:30 am – 1:00 pm
Lunch ................................ 69
1:00 – 2:15 pm
Concurrent Sessions .............. 70
Discussion Groups ............... 74
Spark Session .................... 74
2:15 – 2:45 pm
Networking and Refreshment Break ........ 75
2:45 – 3:45 pm
Concurrent Sessions .............. 75
Discussion Groups ............... 79
3:45 pm
Conference Adjourns

Event for details

TABLE OF CONTENTS

CONCURRENT SESSIONS BY TRACK
AUDIT/COMPLIANCE .......... 22
COSTING/ F&A ............... 23
FEDERAL UPDATE .......... 23
HUMAN CAPITAL .......... 24
MEDICAL/CLINICAL .......... 24
POST-AWARD OPERATIONS .......... 25

DISCUSSION GROUPS BY TRACK
AUDIT/COMPLIANCE .......... 26
COSTING/ F&A ............... 26
HUMAN CAPITAL .......... 26
MEDICAL/CLINICAL .......... 27
POST-AWARD OPERATIONS .......... 27
Thursday, March 5, 2015 | 8:30 am – 5:00 pm
FULL DAY PRE-CONFERENCE WORKSHOPS

WORKSHOP 1: POLICY DEVELOPMENT AND IMPLEMENTATION IN THE AGE OF UNIFORM GUIDANCE

WORKSHOP 2: INTRODUCTION TO POST-AWARD

WORKSHOP 3: FINANCIAL COMPLIANCE

8:30 am – 12:00 pm
HALF DAY MORNING PRE-CONFERENCE WORKSHOPS AND SENIOR LEVEL FORUMS

WORKSHOP 4: POST-AWARD CHALLENGES FOR PRIMARILY UNDERGRADUATE INSTITUTIONS (PUIs) (INCLUDES PRIMER ON THE F&A SHORT FORM)

WORKSHOP 20: SERVICE CENTERS: SET FOR SUCCESS - BEST PRACTICES FOR DEVELOPING RATES AND MAINTAINING COMPLIANCE

WORKSHOP 6: CLINICAL TRIALS MANAGEMENT FOR FINANCIAL MANAGERS

WORKSHOP 7: SUBRECIPIENT MONITORING: AN OVERVIEW

WORKSHOP 8: THE PRE-AWARD OFFICE AND THEIR POST-AWARD DUTIES

WORKSHOP 9: EFFECTIVE CONTROLS FOR MITIGATING AUDIT RISKS

WORKSHOP 10: CONSCIOUS LEadership: A MANAGEMENT IMPERATIVE

WORKSHOP 11: UNIFORM GUIDANCE: WHAT’S NEW, WHAT’S NOT AND WHAT DO YOU HAVE TO DO ABOUT IT?

SENIOR LEVEL FORUM 12: ANTICIPATING AUDITS AND ENFORCEMENT ACTIONS FOLLOWING THE UNIFORM GUIDANCE (UG): A LOOK AT THE UG HIGHLIGHTS AND HOW THEY MIGHT IMPACT YOUR INSTITUTION IN THE FUTURE

SENIOR LEVEL FORUM 13: RESEARCH ADMINISTRATION HOT ISSUES, CONCERNS AND TOPICS

SENIOR LEVEL FORUM 14: SHARED SERVICES: A NEW MODEL FOR RESEARCH ADMINISTRATION - THE REAL FACTS FOR A TRANSITION

SENIOR LEVEL FORUM 15: MANAGING CHANGE EFFECTIVELY

Thursday, March 5, 2015 | 1:30 – 5:00 pm
HALF DAY AFTERNOON PRE-CONFERENCE WORKSHOPS AND SENIOR LEVEL FORUMS

WORKSHOP 16: EFFORT REPORTING: EXAMINING THE NEW ERA AND CREATING A COMPLIANT EFFORT REPORTING SYSTEM

WORKSHOP 17: THE F&A PROPOSAL: STARTING FROM SCRATCH, ENDING WITH RATES

WORKSHOP 18: BUILDING BRIDGES: A CROSSWALK BETWEEN THE UNIFORM GUIDANCE AND A-21/A-110

WORKSHOP 19: FINANCIAL MANAGEMENT OF SPONSORED AWARDS: CONFESSIONS FROM A DEPARTMENT ADMINISTRATOR

WORKSHOP 5: UNIFORM GUIDANCE IMPLEMENTATION

WORKSHOP 21: UNDERSTANDING COST SHARING

WORKSHOP 22: NUMBERS TELL THE STORY: HOW TO DEVELOP, MONITOR, AND MANAGE BUDGETS FOR SPONSORED PROGRAMS

WORKSHOP 23: CONTRACTING: TERMS AND CONCEPTS FOR THE POST-AWARD ADMINISTRATOR

SENIOR LEVEL FORUM 24: FINANCIAL COMPLIANCE – THE CHALLENGES THAT SENIOR ADMINISTRATORS CURRENTLY FACE

SENIOR LEVEL FORUM 25: COMPLEX SERVICE CENTER COST ANALYSIS STRATEGIES AND ADVANCED TOPICS

SENIOR LEVEL FORUM 26: HOT TOPICS - FACILITIES & ADMINISTRATIVE (F&A) RATES

SENIOR LEVEL FORUM 27: DATA IS NOT A FOUR LETTER WORD
WORKSHOP 1  ADVANCED

POLICY DEVELOPMENT AND IMPLEMENTATION IN THE AGE OF UNIFORM GUIDANCE

Institutional Policy reflects the principles that underlie all sponsored program activity on our campuses. It is the framework for many everyday decisions, and it is a signal of our understanding of sponsor guidelines and regulations. Our policies, along with agency regulations, form the standards against which our auditors will measure our performance. The "go-live" for the Uniform Guidance has caused all organizations to look at its existing policies for edits and gaps. This workshop will discuss the methods commonly used to create and revise sponsored programs policies, offer some analysis of the strengths and weaknesses of each approach, and present options for formats and typical content elements. In addition, workshop participants will consider the techniques used to promulgate policy across the campus to research administrators and to faculty. There are other issues that will come into consideration in the workshop, including the process for evaluating policies against Federal Standards, internal control frameworks, the application to certain classes of sponsored projects, and the approach to reviewing and refreshing established policies. The workshop will include a look at some specific policies that were most commonly created or revised after the Uniform Guidance went into effect.

Learning Objectives: Participants will gain different perspectives about the process of creating policies for sponsored programs operations, acquire multiple views about ways to implement policies and gain insights into potential strategies for policy "rollout."

Prerequisite: This workshop is intended for senior administrators who have experience creating and applying policy.

Patricia Hawk*, Director, Sponsored Programs, Oregon State University
Robert Andresen, Director of Research Financial Services, Associate Director, Research and Sponsored Programs, University of Wisconsin-Madison
Peggy S. Lowry, Program Director, NCURA Peer Programs, National Council of University Research Administrators

WORKSHOP 2  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 financial regulatory compliance landscape, highlighting the impact the Uniform Guidance has on post-award administration.

Learning Objectives: Participants will learn about post-award administration from proposal budget to closeout and beyond through a variety of cases, discussion and lectures.

Roseann Luongo*, Associate Director, Training and Compliance, Harvard University
Carrie Chesbro*, Sponsored Projects Administrator Post-Award, University of Oregon
**WORKSHOP 3  INTERMEDIATE**

**FINANCIAL COMPLIANCE**

Compliance is an institutional responsibility beginning in pre-award and extending throughout post-award and closeout. Critical elements of internal controls are necessary in our research structures. As research administrators, we must make certain that we adequately establish policies to manage, minimize and mitigate potential risks related to compliance. This workshop will include an overview of the financial and research compliance areas while offering strategies to mitigate associated risks. We will also share personal experiences, case studies and reports from the Office of Inspector General to convey proven strategies to provide participants with alternative ways to reduce risk.

**Learning Objectives:**
- Participants will learn about the financial and research compliance areas and the current audit environment related to financial and research compliance, including specific audits at universities.
- Participants will also gain insight into possible strategies to mitigate these risks and will gain perspective on the Uniform Guidance and how it will impact these compliance areas.

**Prerequisite:** Participants should have a basic understanding of pre- and post-award functions and 3-5 years working in a research administration environment.

**Barbara Cole**, Associate Vice President, Research Administration, University of Miami  
**Doug Horr**, Executive Director of University Compliance Services, University of Miami  
**Jill Tincher**, Executive Director of Strategic Initiative, Office of Research Administration, University of Miami

8:30 am – 12:00 pm

**WORKSHOP 4  INTERMEDIATE**

**POST-AWARD CHALLENGES FOR PRIMARILY UNDERGRADUATE INSTITUTIONS (PUIs) (INCLUDES PRIMER ON THE F&A SHORT FORM)**

Primarily Undergraduate Institutions (PUIs) encounter unique challenges - organizational, resource, and operational - when striving to implement and maintain a solid structure of support for sponsored programs. Join us for a highly interactive discussion of the challenges and potential solutions related to the needs of our colleagues who support such institutions. We will also be providing an overview on the simplified method (short form) of calculating a Facilities and Administrative (F&A) cost rate for smaller institutions. Topics will include: who can use the simplified method; how the F&A Rate is developed; and Salaries & Wage Base (S&W) vs. Modified Total Direct Cost Base (MTDC) with specifics such as how they are calculated and how they are applied.

**Learning Objectives:**
- Participants will learn to identify and define Primarily Undergraduate Institutions, Emerging Research Institutions, and other similar categories.
- Participants will also learn to identify and discuss unique challenges/solutions related to these institutions and gain an understanding of the short form process for calculation of an F&A rate.

**Prerequisite:** Attendees should have a general understanding of post-award processes and procedures.

**Deborah Shaver**, Director, Research Services and Sponsored Programs, Georgia Southern University  
**Kevin Korinek**, Manager, Facilities & Administrative Cost Recovery Services, Huron Consulting
WORKSHOP 20  OVERVIEW

SERVICE CENTERS: SET FOR SUCCESS – BEST PRACTICES FOR DEVELOPING RATES AND MAINTAINING COMPLIANCE

Whether you are new to the topic of service centers or a veteran, federal guidance on this topic can be cryptic, at best. The new Uniform Guidance has not provided additional clarification on how to establish or manage service centers. So how can we set up service centers that will hold up to federal audit? We will start with the basics and delve into the not-so-basic, covering time-tested practices and new questions regarding Uniform Guidance. Bring your war stories and your toughest issues to the discussion. We will do our best to decrypt the topic of service centers.

Learning Objectives:
• Participants will learn cost allowability and allocation methods.
• Participants will learn how to build user-friendly rate structures.
• Participants will learn about realistic budgeting/subsidy.
• Participants will learn the rate review process, from start to finish.
• Participants will learn how to maintain institutional and federal compliance.
• Participants will hear about updates regarding new Uniform Guidance.
• Participants will learn considerations for internal vs. external sales activity.
• Participants will learn best practices for departmental accounting.
• Participants will learn what to do in unusual circumstances.
• Participants will learn about audits.

Jennifer Smolnik*, PMP, Senior Grant & Contract Officer, Fiscal Oversight, Arizona State University
Tom Colella, Director of Core Research Facilities Administration, Arizona State University

WORKSHOP 6  INTERMEDIATE

CLINICAL TRIALS MANAGEMENT FOR FINANCIAL MANAGERS

Clinical trials are conducted in a variety of institutional settings, and if your organization is engaged in clinical trials, it is likely that you face complex problems, issues, and challenges on a regular basis whether you are a research administrator in a central sponsored projects office, in a medical school department, or in a teaching hospital or research institute. This interactive workshop will examine key administrative, financial, and regulatory issues that arise in the planning, funding and conducting of clinical trials, including: the unique complex regulatory environment for clinical trials; key negotiation issues that often arise in a clinical trial agreement; managing research conducted under INDs with faculty acting as the clinical trial sponsor; the intricacies of managing a clinical trial budget and expenditures; exploring institutional models to manage regulatory challenges such as research billing. ClinicalTrials.gov regulations, contracting with VAs, and NIH clinical trials;

(continued on next page)
WORKSHOP 7  OVERVIEW

SUBRECIPIENT MONITORING: AN OVERVIEW

Federal sponsors award billions of dollars in federal funds for collaborative research. Many collaborations often take the form of subawards in which prime recipients of federal funds are responsible for oversight and monitoring of subrecipients throughout the span of the subaward. As the prime recipients, we often encounter some challenges in the subrecipient monitoring process. In this workshop, we will provide an overview of federal regulations governing subrecipient monitoring, discuss roles and responsibilities to assist participants in developing and/or maintaining a compliant program, and explore some good business practices for subrecipient monitoring. It simply isn’t one size fits all institutions.

Learning Objectives:
- Participants will examine the Uniform Guidance requirements for subrecipient monitoring.
- Participants will identify key roles and responsibilities in subrecipient monitoring.
- Participants will identify some good practices and techniques for subrecipient monitoring.

Prerequisite: A basic understanding of the Uniform Guidance on subrecipient monitoring and principles of subaward administration is required for attendees of this workshop.

Antoinette Lawson*, Director, Office of Research Administration, University of Maryland, College Park
Louise Davis, Compliance Coordinator, University of Maryland, College Park
Tamara Lucas, Specialist, Contracts and Grants, University of Maryland, Baltimore

WORKSHOP 8  BASIC

THE PRE-AWARD OFFICE AND THEIR POST-AWARD DUTIES

This session will focus on the post-award responsibilities that are part of the day-to-day routine for pre-award administrators. It will provide an overview of the significant policies and processes surrounding award set up, progress reports, subcontracts, close outs, budget revisions, change in key personnel, and more. The session will cover post-award activities and discuss the challenges that it proposes to the pre-award functions.

Learning Objectives: Participants will learn that pre-award plays a big role in post-award administration and will acquire an understanding of how to use their institution’s policies and procedures to assist with pre- and post-award activities.

Tolise Miles*, Senior Grants & Contracts Specialist, Grants and Contracts Administration and Finance, Children’s National Medical Center
Mary E. Schmiedel, Associate Dean for Research Administration & Director, Office of Sponsored Programs, Georgetown University
**WORKSHOP 9**  
**UPDATE**

**EFFECTIVE CONTROLS FOR MITIGATING AUDIT RISKS**

This workshop will describe the audit engagement and management process. It will include analysis of how to prepare for and use internal controls for mitigating audit risks. The format will be based on a side-by-side mock OIG audit engagement as viewed from the OIG side and that of the University. In addition, there will be discussion on "internal controls" as they relate to the new Uniform Guidance.

**Learning Objectives:**
- Participants will learn university best practices for engaging and managing audit.
- Participants will gain an understanding of the auditor’s points of view and the types of testing often performed.

**Prerequisite:** Participants should have a solid understanding of financial compliance requirements and system controls in order to attend this workshop.

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

---

**WORKSHOP 10**  
**OVERVIEW**

**CONSCIOUS LEADERSHIP: A MANAGEMENT IMPERATIVE**

The volume of activity and change that pulses through our organizations and our days is high. The people in our organization can be the hardest part, or the best part of our jobs, depending on the leadership and communication style we bring into our organizations. Our chosen leadership and communication style can also have a direct correlation to our health and personal well-being. The new management imperative, Conscious Leadership, is the most efficient way for an organization to improve, create sustainable success and contribute to the well-being of the team.

Conscious leaders are shifting from unconscious attitudes, behaviors and reactions to conscious attitudes, behaviors and reactions. We can break old patterns and build new ones.

Join us for this half day workshop to learn techniques and practices that will support you in making the shift to a new way of leading and living.

**Learning Objectives:** Participants will learn practices and techniques that can be employed to improve the productivity, sustainability and well-being of ourselves and our staff. The workshop will include hands on activities and simulations on:
- giving and receiving feedback
- listening practices
- difficult conversations
- creating more productive and efficient meetings.

The workshop will also include an introduction to meditation to bring us to a more responsive, less reactive style.

*Tara Bishop*, Associate Executive Director, National Council of University Research Administrators
**WORKSHOP 11**  
**UPDATE**

**UNIFORM GUIDANCE: WHAT’S NEW, WHAT’S NOT AND WHAT DO YOU HAVE TO DO ABOUT IT?**

The Uniform Guidance has caused great concern for all research administrators. While most of the rules have remained the same, the ones that have changed are causing all of us to rethink our business practices. This session will review the layout of the UG, describe the changes from the OMB Circulars, and review the COFAR-issued Frequently Asked Questions. The presenters will discuss their experiences in interpreting the changes and how they are impacting their campuses.

**Learning Objectives:** Participants will gain an understanding of the Uniform Guidance, its layout and how it compares to the OMB Circulars and the importance of the FAQ issued by the COFAR.

**Prerequisite:** Participants should be familiar with the acronym frequently used in the day-to-day administration of research.

**Jeff Seo**, Director of Research Compliance, Harvard Medical School  
**Zach Belton**, Senior Director, Huron Consulting Group

---

**SENIOR LEVEL FORUM 12**  
**ADVANCED**

**ANTICIPATING AUDITS AND ENFORCEMENT ACTIONS FOLLOWING THE UNIFORM GUIDANCE (UG): A LOOK AT THE UG HIGHLIGHTS AND HOW THEY MIGHT IMPACT YOUR INSTITUTION IN THE FUTURE**

Are you sick and tired about the Uniform Guidance already? Well, you haven’t seen anything yet. Come join us for a refreshing look at the highlights of the UG and how they may impact the future of federal audits and enforcement actions. We will also discuss the practical side of complying with the UG. What has worked well? What hasn’t? Join us for a fresh perspective of the big, bad UG.

**Learning Objectives:**
- Participants will learn to identify which internal policies and procedures require refinement to comply with the UG.
- Participants will become familiar with the nuts and bolts of new requirements under the UG, and to better anticipate the scope of future audits and enforcement actions under the UG.

**Prerequisite:** Participants should be familiar with the acronyms frequently used in the day-to-day administration of research.

**Ann Holmes**, Assistant Dean, Administration and Finance, College of Behavioral and Social Sciences, University of Maryland, College Park  
**Rebecca Hunsaker**, Assistant Director of Research Administration, University of Maryland, College Park  
**Timothy Reuter**, Director, Post-Award Operations, Stanford University
**SENIOR LEVEL FORUM 13  ADVANCED**

**RESEARCH ADMINISTRATION HOT ISSUES, CONCERNS AND TOPICS**

We should call this the 70 Day Workshop. By the time we meet, 70 days will have passed since December 26, 2014 and it will be a great time to complain…no, discuss our current issues and hot topics, our best practices, and our please help me’s. This workshop is designed for the experienced research administrator because we want to talk about heavy duty stuff! And have in-depth discussions of issues associated with financial research administration such as, but not limited to: uniform guidance implementation; NIH subaccounts; close out; audit issues; cost allocation principles and sponsored budget preparation; plus our normal effort reporting, cost sharing, cost transfers, F&A. This workshop is intended to be very interactive, and we strongly encourage participants to come prepared to ask questions and share their own experiences.

**Learning Objectives:** This workshop will provide suggestions for improving financial policies and practices, to minimize compliance risk at our institutions, as well as coping mechanisms for administrative burdens.

**Prerequisite:** It is expected that attendees will have significant experience in research administration and at least a basic understanding of federal costing regulations as well as experience in issues related to financial compliance.

* Dan Nordquist*, Assistant Vice President/Director, Office of Grant and Research Development, Washington State University  
* Michael Anthony*, Executive Director, Management Accounting and Analyses, University of Washington  
* Susan W. Sedwick*, Consultant, Attain, LLC  
* Kimberlie Small*, Director, Sponsored Programs Services, Washington State University

**SENIOR LEVEL FORUM 14  ADVANCED**

**SHARED SERVICES: A NEW MODEL FOR RESEARCH ADMINISTRATION - THE REAL FACTS FOR A TRANSITION**

As universities, colleges, and medical centers try to manage their cost structure, new business models have surfaced. Reorganizing the way research administrators in central offices provide service to faculty has been questioned and benchmarked recently. Many know these new models as shared service centers. Presidents, VPs, and CFOs have moved forward to implement this new way of business on our campuses. This session will review the current models implemented on a few campuses, provide the challenges and successes during the transition, and provide an opportunity to have a discussion about all aspects of these new models.

**Learning Objectives:**
- Participants will learn to understand the types of research administration shared services being implemented.
- Participants will hear about the challenges and successes in implementing a shared services model.
- Participants will learn from others in the audience.

**Prerequisite:** This forum is intended for senior level research administrators in management positions.

* F. John Case*, Senior Vice President for Operations and Chief Financial Officer, Morehouse School of Medicine  
* Joseph (Jay) Zwischenberger*, Surgeon In Chief, Chair, Department of Surgery, University of Kentucky Health Care, College of Medicine  
* Tomas Pereira*, Manager, PricewaterhouseCoopers, LLP  
* Joanne C. Bentley*, Director, Faculty Research Management Services, Yale University
EFFORT REPORTING: EXAMINING THE NEW ERA AND CREATING A COMPLIANT EFFORT REPORTING ‘SYSTEM’

Effort reporting just won’t go away. Though it sounds like a simple concept, people 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. Just try explaining why a faculty member can’t exclude proposal writing from their University activities when they wrote their proposals on the weekend. While the Uniform Guidance 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 and 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. Workshop participants should plan to engage in a conversation with the 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.

David Ngo*, Assistant Vice President, Sponsored Programs Administration, Office of Sponsored Programs, University of Texas Southwestern Medical Center at Dallas
Ashley Whitaker, Assistant Director, Office of Sponsored Programs, Nova Southeastern University
Brian Korblick, Manager, Huron Consulting Group
Kristi Bazata, Director, Analysis and Reporting, Columbia University

Seniors Level Forum 15 Advanced
MANAGING CHANGE EFFECTIVELY

Heraclitus wrote, "The only thing that is constant is change," but what he failed to provide us with were strategies on how to effectively manage change. The examples of constant change, big and small, are innumerable, but the health of an organization depends on our ability to manage change. This forum will focus on how to manage change including identifying what to change, developing a plan, implementing the change, and measuring success. Whether you are faced with developing and implementing a new policy or a major reorganization of departments, you will come away with proven strategies to successfully manage change at your workplace.

Learning Objectives:
• Participants will better understand the importance of identifying and making the right moves – whether you’re instigating the change or implementing someone else’s changes.
• Participants will better understand people’s natural resistance to change and how to address that.
• Participants will learn how to develop and implement the change plan.
• Participants will learn how to monitor and measure success.

Prerequisite: This forum is intended for senior level research administrators in management positions.

Lisa Mosley*, Executive Director, Research Operations, Arizona State University
Kris K. Wolff, Manager, Office of Sponsored Programs, Fordham University

Workshop 16 Intermediate
EFFORT REPORTING: EXAMINING THE NEW ERA AND CREATING A COMPLIANT EFFORT REPORTING ‘SYSTEM’

Thursday, March 5, 2015 | 8:30 am – 12:00 pm
HALF DAY MORNING PRE-CONFERENCE WORKSHOPS AND SENIOR LEVEL FORUMS

Thursday, March 5, 2015 | 1:30 – 5:00 pm
HALF DAY AFTERNOON PRE-CONFERENCE WORKSHOPS AND SENIOR LEVEL FORUMS
WORKSHOP 17  BASIC
THE F&A PROPOSAL: STARTING FROM SCRATCH, ENDING WITH RATES
This workshop will be devoted to understanding all aspects of the F&A rate calculation and building a proposal from the ground up. We will dig into each of the individual components of the F&A rate (cost pools and bases) and discuss what data elements are needed to derive each component and where to get them. Also, we will go through the mechanics of the step-down schedule and how the logic behind allocation decisions impacts the final rate calculation.

Learning Objectives:
• Participants will develop a comprehensive understanding of all of the components of the F&A rate calculation.
• Participants will learn about the strategies that go into maximizing the F&A rate.
• Participants will learn to explain the nuances of an F&A proposal to their peers at their respective institutions.

Josh Rosenberg*, Director, Cost Studies, Emory University

WORKSHOP 18  UPDATE
BUILDING BRIDGES: A CROSSWALK BETWEEN THE UNIFORM GUIDANCE AND A-21/A-110
This workshop features a discussion of the key language and guidance formerly found in OMB Circular A-21 and A-110 and where these key elements may be found in the new Uniform Guidance. From this starting point, participants will engage in a discussion of the major changes in the Uniform Guidance and what the potential impact might be on institutions of higher education.

Learning Objectives:
• This workshop will establish a baseline of knowledge of key elements in A-21 and A-110 and develop a “roadmap” within the Uniform Guidance to locate important sections and language.
• This workshop will also help participants develop an understanding of the potential impact changes the Uniform Guidance may have for colleges and universities.

Prerequisite: Participants are strongly encouraged to bring copies of the Uniform Guidance to this session.

Julie Cole*, Director of Research Costing Compliance, Duke University
Robin Cyr, Associate Vice Chancellor for Research, Director, Office of Sponsored Research, University of North Carolina at Chapel Hill

WORKSHOP 19  ADVANCED
FINANCIAL MANAGEMENT OF SPONSORED AWARDS: CONFESSIONS FROM A DEPARTMENT ADMINISTRATOR
Department administration is where the rubber meets the road. The range of issues and growing amount of industry-know-how required to be an exceptional administrator is a constantly moving target. Department research administrators are the link between central administration and principal investigators in what sometimes may feel like a tug of war. The DRA is more than a source who understands the rules and regulations.

(continued on next page)
WORKSHOP 19  ADVANCED
FINANCIAL MANAGEMENT OF SPONSORED AWARDS: CONFESSIONS FROM A DEPARTMENT ADMINISTRATOR (CONTINUED)
The department research administrator is an innovative problem solver. Breakthrough research requires breakthrough research administration. Providing solutions to balance institutional compliance with emerging research needs is essential for department research administrators seeking to add value to their respective institution’s research mission. This session will cover best practices that will assist department administrators with post-award administration. Topics will include: award implementation, allowable, allocable and reasonable costs, reconciliation, documentation, effort reporting, cost transfers, reporting, award closeout, and samples of relevant audits.

Learning Objectives:
• Participants will understand what cost share is.
• Participants will understand the different types of cost share.
• Participants will determine what is allowable cost share.
• Participants will have a general understanding of cost share reporting requirements.

Jorge Vazquez*, Associate, Huron Consulting Group
Tolise Miles, Senior Grants & Contracts Specialist, Grants and Contracts Administration and Finance, Children’s National Medical Center
Timothy Schailey, Director, Sponsored Programs, Christiana Care Health System

WORKSHOP 21  BASIC
UNDERSTANDING COST SHARING
This workshop will give you a basic understanding of cost share, types of cost share, and when cost share is required. We will touch on sponsor specific reporting requirements, impacts of cost share and will do actual case studies surrounding cost share.

Learning Objectives:
• Participants will understand what cost share is.
• Participants will understand the different types of cost share.
• Participants will determine what is allowable cost share.
• Participants will have a general understanding of cost share reporting requirements.

James Goff*, Associate Director, Cost Studies, Office of Grants and Contracts, Emory University

WORKSHOP 5  OVERVIEW
UNIFORM GUIDANCE IMPLEMENTATION
You have studied the Uniform Guidance and have taken all the necessary classes to understand it. Now it is time to implement this new guidance on your campus. How should it be done? What kind of structure should you put in place? What policies will be affected? This workshop will provide you with the necessary skills to facilitate the implementation of the new Uniform Guidance on your campus.

Learning Objectives:
• Participants will learn to understand which parts of the UG is relevant to your campus and research administration.
• The workshop will provide examples of how to structure your internal team to deliver the most effective implementation of the UG.
• Participants will also learn to monitor the effectiveness of their implementation.

Dennis Pafrath*, Assistant Vice President for Sponsored Programs Administration, University of Maryland, Baltimore
Lori Ann Schultz, Assistant Director, Sponsored Project Services, University of Arizona
WORKSHOP 22  INTERMEDIATE

NUMBERS TELL THE STORY: HOW TO DEVELOP, MONITOR, AND MANAGE BUDGETS FOR SPONSORED PROGRAMS

Budget is one of the most essential components of any sponsored project. It is a financial expression of the statement of work. The ability to build a budget that directly ties to the work being performed will enhance the chances of being funded. The skill of building a budget that would allow for modification flexibility is equally important. Monitoring and managing the budget during the lifecycle of the award is paramount to the success of the project and adherence to sponsors’ guidelines and regulations. This workshop will help to develop and/or strengthen practical hands-on skills that we need during various phases of any project lifecycle from inception to completion. We will discuss the ways to counteract imperfections of the individual accounting systems using "user friendly" templates created in Excel. We will explore the techniques of "reading" and interpreting the proposed and actual budgets and seeing the progress of a project through numbers.

Learning Objectives:
• Participants will develop a further understanding of the concepts and strategies related to budgeting.
• Participants will recognize the importance of relationship-building associated with budget lifecycle.
• Participants will review the challenges associated with a budget and the risks involved.
• Participants will learn to use Excel for developing, using and modifying spreadsheets for budget related tasks.
• Participants will assemble the tools for assisting the faculty in all aspects related to the budget to ensure responsible financial management.
• Participants will explore options available for dealing with budgeting throughout the lifecycle of a project.

Prerequisite:
Participants should own a laptop armed with Excel and have some previous experience working with Excel.

Shella Batelman*, Senior Grant Administrator, Suffolk University
Robert Stemple, Director of Research Management & Finance, GeneSys Research Institute
Patricia McNulty, Principal Consultant, Concurrent Research

WORKSHOP 23  OVERVIEW

CONTRACTING: TERMS AND CONCEPTS FOR THE POST-AWARD ADMINISTRATOR

Administrators are often faced with interpreting the legal terms and concepts during the management of a contract. This workshop will provide a brief overview of contracting principles as well as explain the general meaning of common terms and clauses in federal, state, and private contracts. We will try to place emphasis on how assessing the importance of particular terms for a specific contract can affect negotiation and the successful execution of your award. We will include the determination of the type of contract, interpreting the payment terms, knowing when to be concerned about scope creep, and in certain applications, unrelated business income tax (UBIT) implications for your institution.

Learning Objectives:
• Participants will gain an understanding of common contract terms and concepts pertaining to sponsored agreements, including troublesome clauses.
• Participants will better understand the importance of particular terms for specific sponsored projects and will be aware of the possible impact a contract term or condition may have on their institution.

Prerequisite: Previous experience in interpreting federal, state and private contracts is helpful when attending this workshop.

W. Scott Erwin, Sr., Director, Office of Sponsored Programs, Texas State University
Sarah Kern, Grant and Contract Specialist, Arizona State University Main
**SENIOR LEVEL FORUM 24  ADVANCED**

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

This session 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. The session 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 as well as explore the impact of the Uniform Guidance on our policies and practices. The workshop 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.
- The workshop will provide suggestions for improving financial policies and practices and for implementing proactive measures that can help to minimize compliance risk at non-profit institutions.
- This workshop 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, and international collaborations.

**Prerequisite:** It is expected that attendees 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.

**Martin Smith**, Manager, Higher Education and Academic Medical Centers, Attain, LLC

**Charlene Blevens**, Director, Post-Award Operations, University of Miami

---

**SENIOR LEVEL FORUM 25  ADVANCED**

**COMPLEX SERVICE CENTER COST ANALYSIS STRATEGIES AND ADVANCED TOPICS**

This session will explore multiple approaches to performing a cost analysis for complex service centers, such as genomics, animal facilities, and social science service centers. This session will also address advanced service center topics such as subsidies, rates to external users, priority users, high-volume pricing, and year-end accounting for service centers.

**Learning Objectives:**
- Participants in this workshop should come away with an understanding of multiple approaches for costing complex service center.
- Participants will gain better strategies for addressing advanced topics and a reinforced understanding of financial compliance requirements.

**Prerequisite:** Attendees should possess knowledge of OMB Uniform Guidance (2 CFR 200) and legacy OMB Circulars A-21 or A-122.

**Martin Smith**, Manager, Higher Education and Academic Medical Centers, Attain, LLC

**Andres Chan**, Director, Office of Financial Analysis, University of Southern California
**SENIOR LEVEL FORUM 26**  
**ADVANCED**  
**HOT TOPICS – FACILITIES & ADMINISTRATIVE (F&A) RATES**

This senior forum is intended to be interactive and participants are strongly encouraged to come prepared to share their own experiences, ask questions and actively participate in discussions.

**Learning Objectives:** With active participation of attendees, this senior forum will offer updates on current F&A proposal and negotiation issues, provide suggestions for enhancing their F&A rate, improving processes and practices to minimize questions/challenges from Federal negotiators and share recent experiences institutions have had in negotiating their F&A rates.

**Prerequisite:** Participants should have significant experience in developing F&A proposals, responding to inquiries from Federal negotiators and negotiating their F&A rates. It will also be helpful for attendees to have some familiarity with the new Uniform Guidance (UG!) and how it impacts their institution with respect to the F&A proposal and negotiation.

**Michael Anthony**, Executive Director, Management Accounting and Analyses, University of Washington  
**Gary Talesnik**, Attain, LLC  
**Cathy Snyder**, Director, Vanderbilt Costing Activities, Office of Contract and Grant Accounting, Vanderbilt University

---

**SENIOR LEVEL FORUM 27**  
**ADVANCED**  
**DATA IS NOT A FOUR LETTER WORD**

Managing a sponsored projects office has never been more complicated than it is today. Did anyone anticipate that PubMed requirements would impact cash flow? Are we prepared for the new controls on the NIH letter of credit draws via subaccounts? Our offices face a constant demand to analyze our operations, assess the impact of new regulations, predict changes in sponsor funding, and make informed decisions to better our institution and support our investigators. Analytics provide one of the cornerstones of our success.

**Learning Objectives:** This senior forum will focus on how to leverage operational and financial data to make informed decisions, providing participants with a framework to:

- assess current operations and define key focus areas that require data management.
- design management metrics to provide effective business intelligence.
- create a culture that supports metrics and operational reporting.
- manage workload in a transparent operational environment.
- leverage metrics to improve investigator communication and institutional decision making.

**Prerequisite:** This forum is intended for senior level research administrators in management positions.

**Andrew Chase**, Vice President, Research Management and Finance, Partners HealthCare  
**Stephanie Stone**, Administrator, Partners Healthcare
### AUDIT/COMPLIANCE

#### DEPARTMENTAL FOCUS

- **Friday, March 6 | 10:15 – 11:30 am**
  - Export Controls and the Departmental Administrator

- **Friday, March 6 | 1:00 – 2:15 pm**
  - My Shadow and I: Ideas on How to Better Manage Your Sponsored Award Portfolio

- **Friday, March 6 | 2:45 – 3:45 pm**
  - International Subrecipient Monitoring

- **Friday, March 6 | 4:00 – 5:00 pm**
  - Best Practices for Subrecipient Monitoring

- **Saturday, March 7 | 8:15 – 9:45 am**
  - How Well Do You Know Your Conflict of Interest Policies and Procedures

#### INTERNATIONAL FOCUS

- **Friday, March 6 | 1:00 – 2:15 pm**
  - Building International Research Administration Capacity: A Case Study

- **Friday, March 6 | 4:00 – 5:00 pm**
  - International Considerations in Research Administration

- **Saturday, March 7 | 8:15 – 9:45 am**
  - What To Expect When The Auditors Come

- **Saturday, March 7 | 10:15 – 11:30 am**
  - Challenges of Documenting Expenditures at a PU

#### PUI FOCUS

- **Saturday, March 7 | 8:15 – 9:45 am**
  - Close-Out: What the Uniform Guidance Means

- **Saturday, March 7 | 10:15 – 11:30 am**
  - Audit Findings and Corrective Actions

#### RESEARCH INTENSIVE FOCUS

- **Friday, March 6 | 10:15 – 11:30 am**
  - Assessing Risk in a Post-Award Research Administration Environment

- **Friday, March 6 | 2:45 – 3:45 pm**
  - Uniform Guidance and Internal Controls – What Do You Really Need to Know?

- **Friday, March 6 | 4:00 – 5:00 pm**
  - Responding to Audits

- **Saturday, March 7 | 8:15 – 9:45 am**
  - Managing Large Audits – A Team Approach

- **Saturday, March 7 | 2:45 – 3:45 pm**
  - Audit Findings and Corrective Actions
**DEPARTMENTAL FOCUS**

**COSTING/ F&A**
Friday, March 6 | 1:00 – 2:15 pm
- Facilities and Administrative (F&A) Rate Negotiations – It Takes an Army

Saturday, March 7 | 1:00 – 2:15 pm
- Developing Budgets: A Department Focus

**PUI FOCUS**
Saturday, March 7 | 1:00 – 2:15 pm
- Changes in Direct vs Indirect Costing and Other New Guidelines that Effect F&A Costing

Saturday, March 7 | 2:45 – 3:45 pm
- Communication is Key to Building an Allowable Budget and Maintaining Fiscal Compliance

**RESEARCH INTENSIVE FOCUS**
Friday, March 6 | 1:00 – 2:15 pm
- How to Implement New F&A Software From a User’s Perspective

Friday, March 6 | 2:45 – 3:45 pm
- Financial Management of Your Award: Faculty, Department Administration and Post-Award Working Together

Friday, March 6 | 4:00 – 5:00 pm
- Preparing and Conducting Space Surveys – The Driver of the Facilities Component

Saturday, March 7 | 8:15 – 9:45 am
- F&A Proposal Basics

Saturday, March 7 | 10:15 – 11:30 am
- Converting from Short Form to Long Form (F&A), When Does it Make Sense?

Saturday, March 7 | 1:00 – 2:15 pm
- Costing Olympics - Interactive Session Involving Different Costing Situations & Solutions

Saturday, March 7 | 2:45 – 3:45 pm
- F&A - Strategies for Senior Leadership

**FEDERAL UPDATE**
Friday, March 6 | 10:15 – 11:30 am
- Research Terms and Conditions: Then and Now...

Friday, March 6 | 1:00 – 2:15 pm
- NSF Audit Resolution Process

Friday, March 6 | 2:45 – 3:45 pm
- Effort Reporting in the Age of the Uniform Guidance

Friday, March 6 | 4:00 – 5:00 p
- E.U.-US Terminology Sessions

Saturday, March 7 | 2:45 – 3:45 pm
- Subrecipient Risk Assessment and Monitoring in the Age of the Uniform Guidance
HUMAN CAPITAL

Friday, March 6 | 10:15 – 11:30 am
0 Standardizing Quality of Service Across All Team Members

Friday, March 6 | 2:45 – 3:45 pm
0 How to Develop and Create a NCURA YouTube Tuesday Video

B When Cultures Collide: Understanding Research Administration in the Context of Your Institution’s Culture

Friday, March 6 | 4:00 – 5:00 pm
0 Effective Sponsored Research Administration Compliance Training Programs

Saturday, March 7 | 8:15 – 9:45 am
0 Yes – You’re Right! Now, How Are You Going to Solve the Problem?

Saturday, March 7 | 10:15 – 11:30 am
I Unlocking a Quality Management System’s (QMS) Potential – Eliminate Inefficiency, Reduce Costs and Achieve Operational Excellence

Saturday, March 7 | 1:00 – 2:15 pm
0 Coaching the Research Administrator’s Career

0 Collaborate/Membership

Saturday, March 7 | 2:45 – 3:45 pm
0 You’re In Charge of Yourself – Self-Guided Professional Development

MEDICAL/CLINICAL

DEPARTMENTAL FOCUS

Friday, March 6 | 4:00 – 5:00 pm
B Clinical Trials: Coverage Analysis the Cornerstone of Clinical Research Billing

Saturday, March 7 | 8:15 – 9:45 am
I Crucial Conversations in Research Administration

Saturday, March 7 | 2:45 – 3:45 pm
A Faculty and Staff Appointments and the Financial Management of Clinical Trials

RESEARCH INTENSIVE FOCUS

Friday, March 6 | 1:00 – 2:15 pm
A Taking Your Clinical Trial Global: From Agreement to Implementation...What Are the Things to Consider
## Agenda | Concurrent Sessions by Track

### Post-Award Operations

#### Departmental Focus
- **Friday, March 6 | 10:15 – 11:30 am**
  - Subcontracting for the Departmental Administrator: Getting Down to Basics
  - **A**
- **Friday, March 6 | 1:00 – 2:15 pm**
  - I Am a Research Administrator: Now, How Do I Fix This Department?
  - Faculty Transfers: Hello and Goodbye
  - **A**
- **Friday, March 6 | 2:45 – 3:45 pm**
  - Effort Reporting for Departmental Staff
  - **A**
- **Friday, March 6 | 4:00 – 5:00 pm**
  - Using Forecasting and Reporting to Meet Your Department Goals
  - **B**
- **Saturday, March 7 | 8:15 – 9:45 am**
  - Can I Charge That to a Grant?
  - **B**
- **Saturday, March 7 | 10:15 – 11:30 am**
  - It’s About the People: HR Issues in Departmental Management
  - Communicating with Colleagues and Faculty
  - **B**
- **Saturday, March 7 | 1:00 – 2:15 pm**
  - Juggling All Aspects of Sponsored Administration: A Department Administrator’s Perspective
  - Critical Points of the Post-Award Process: Setting the Stage to be a Successful Departmental Research Administrator
  - **I**

#### International Focus
- **Friday, March 6 | 10:15 – 11:30 am**
  - International Subrecipients – The Long and Winding Road
  - **O**
- **Friday, March 6 | 2:45 – 3:45 pm**
  - Mitigating the Financial and Compliance Risks Associated with International Shipments Supporting Global Collaborations
  - **O**
- **Saturday, March 7 | 10:15 – 11:30 am**
  - Financial Risk Assessment of International Agreements
  - **O**
- **Saturday, March 7 | 2:45 – 3:45 pm**
  - Uniform Guidance and Horizon 2020
  - **O**

#### PUI Focus
- **Friday, March 6 | 10:15 – 11:30 am**
  - Uniform Guidance on Internal Controls – Are We Ready?
  - **O**
- **Friday, March 6 | 1:00 – 2:15 pm**
  - Case Studies in Building a Collaborative Relationship Between Pre- and Post-Award Staff in PUIs to Ensure Reliable Post-Award Management and Reporting
  - **O**
- **Friday, March 6 | 2:45 – 3:45 pm**
  - Supplementary Compensation for Faculty at PUIs
  - **O**
- **Friday, March 6 | 4:00 – 5:00 pm**
  - Cost Sharing: Dos and Don’ts
  - **O**

#### Research Intensive Focus
- **Friday, March 6 | 10:15 – 11:30 am**
  - Building Budgets 101
  - **B**
- **Friday, March 6 | 2:45 – 3:45 pm**
  - Research as a Business: A View Through an Income Statement
  - **B**
- **Friday, March 6 | 4:00 – 5:00 pm**
  - Cost Sharing, Why Pre- and Post-Award Administrators Need to Get Involved
  - **B**
AUDIT/COMPLIANCE

Friday, March 6 | 1:00 – 2:15 pm
Export Controls and the New Cuba

Friday, March 6 | 2:45 – 3:45 pm
Follow-up to Concurrent Session: “My Shadow and I: Ideas on How to Better Manage Your Sponsored Award Portfolio,” held at 1:00 pm
My Shadow and I

Saturday, March 7 | 10:15 – 11:30 am
What You Can and Cannot Say to Auditors

Saturday, March 7 | 1:00 – 2:15 pm
Essential Post-Award Policies

Saturday, March 7 | 2:45 – 3:45 pm
OMG...It’s the OIG! How to Plan, Manage and Survive an OIG Audit

COSTING/F&A

Friday, March 6 | 10:15 – 11:30 am
Review of Return on Investment (ROI) from Research Centers and Cores, Specialized Service Facilities
Uniform Guidance issues for the PUI

Friday, March 6 | 2:45 – 3:45 pm
Issues on Direct Charging as a Result of Uniform Guidance
Strategies to Optimize the Equipment & Building Depreciation Components of the F&A Rate

Saturday, March 7 | 8:15 – 9:45 am
Uniform Guidance - Discussion on How the New Rules & Most Recent Federal FAQ’s Affect How My Indirect Cost Proposal Will be Prepared
Developing Budgets: A Department Focus

Saturday, March 7 | 2:45 – 3:45 pm

HUMAN CAPITAL

Friday, March 6 | 10:15 – 11:30 am
Creating Lifelines – Strategies to Develop Central Office and Department Administrator Collaborations

Friday, March 6 | 1:00 – 2:15 pm
Mind Your Meeting Manners: The Effect of Behavior on Perception and Communication

Friday, March 6 | 2:45 – 3:45 pm
Finding Effective Tools to Build High-Performing Teams and Leaders

Saturday, March 7 | 8:15 – 9:45 am
“How May I Serve You?” Changing the Focus from Service to Profession
Career Moves: Changing Roles in Research Administration

Saturday, March 7 | 1:00 – 2:15 pm
How to Say No: Delivering the “Bad News”
**AGENDA | DISCUSSION GROUPS BY TRACK**

**MEDICAL/CLINICAL**

**Friday, March 6 | 10:15 – 11:30 am**
Clinical Trial: Post-Award Issues

**Friday, March 6 | 2:45 – 3:45 pm**
Clinical Trial Management: Contract Negotiation and Finance: A Site’s Perspective

**Saturday, March 7 | 10:15 – 11:30 am**
The Challenges of Clinical Trials – We Want to Hear Those and Your Solutions

**Saturday, March 7 | 1:00 – 2:15 pm**
Clinical Trials: Beyond the Basics

**POST-AWARD OPERATIONS**

**Friday, March 6 | 1:00 – 2:15 pm**
Going Electronic: Converting from Paper Post-Award Files When Resources are Limited

**Friday, March 6 | 4:00 – 5:00 pm**
Follow-up to Concurrent Session: “I Am a Research Administrator: Now, How Do I Fix This Department?” held at 1:00 pm
Four Things a Research Administrator Can Do Right Now to Fix their Department

**Saturday, March 7 | 2:45 – 3:45 pm**
Best Practices for Assisting Clinical Faculty with Proposal Submissions; Federal and Industry

**Saturday, March 7 | 2:45 – 3:45 pm**
Uniform Guidance Impact for International Subrecipients
**Wednesday, March 4, 2015**

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

**Thursday, March 5, 2015**

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)

Noon – 1:30 pm
**WORKSHOP LUNCHEON FOR FULL DAY SESSION PARTICIPANTS, FACULTY AND EVALUATORS**

5:30 – 6:15 pm
**NETWORKING WINE AND CHEESE RECEPTION AND APPY HOUR!**
While you are enjoying the networking reception, you can also choose to get acquainted with NCURA on Twitter, YouTube and Collaborate at the NCURA Social Media “Appy Hour with How-To-Doers”. Join NCURA for quick social media tutorials and attend How to Tweet sessions!

Join your fellow research administrators in spreading the wealth of knowledge by Tweeting what you learn. Make sure you tweet your experience at the Welcome reception at #NCURAFRA16 #AppyHour

**Friday, March 6, 2015**

6:15 am
**NCURA FUN RUN**
Maps will be provided for the participants for the walk/run that departs the hotel at 6:30 am and returns around 7:15 am so that there is plenty of time for participants to get ready before the day’s first session.

7:30 am – 5:00 pm
**FRA CONCIERGE**
**PARTICIPANT MATERIALS PICK-UP**
**EXHIBITS OPEN**
**NCURA SOCIAL MEDIA LOUNGE**
The NCURA Social Media Lounge offers a relaxed environment where attendees can unwind for a minute, while receiving the latest information about all NCURA professional and social platforms. Swing by the Lounge to recharge and meet peers who are a part of your professional and social network and build valuable relationships by collaborating and networking. #NCURAAppyHour #CollaborateNCURA

**ASK NSF**
The Ask NSF information booth is for awardees to come and ask questions or express any concerns they have regarding their grant(s) with the NSF. We will have informational handouts at the table that will address the Frequently Ask Questions and Critical Updates. The two accountants who will be representing NSF will be Dorothy Battle and Naomi Jackson, please come by to say hello!

Dorothy Battle, Accountant, DFM/GCMS, National Science Foundation
Naomi R. Jackson, Accountant, DFM/GCMS, National Science Foundation

7:30 – 8:15 am
**CONTINENTAL BREAKFAST**
**BREAKFAST ROUNDTABLES**
**PEOPLE COMING AND GOING: HOW TO SURVIVE WHEN RESEARCH ADMINISTRATORS LEAVE AND NEW ONES ARRIVE**
Gareth Evans*, Research Compliance Manager, Stanford University

**IMPLEMENTING CHANGES TO DIRECT CHARGING GUIDELINES**
Anne Feuerborn*, MAXIMUS Higher Education Practice

**CRUCIAL CONVERSATIONS WITH FACULTY AND STAFF**
Carrie Chesbro, Sponsored Projects Administrator Post-Award, University of Oregon

**ACCOUNTING FOR GRADUATE STIPENDS AND TUITION BENEFITS**
Sondra Anderson*, Assistant Chair, University of Rochester

**CURRENT ISSUES FOR DEPARTMENT ADMINISTRATORS – LET’S TALK. HOW DOES THAT SOUND?**
Jennifer Lawrence*, Manager, Business and Finance, University of Arizona

**UG IMPLEMENTATION EXPERIENCES AT PUIs**
Barbara Carlyle*, Director, Contracts & Grants, Chapman University
KEYNOTE ADDRESS – KEVIN CARROLL
Kevin Carroll is an Irish prosthetist, researcher, educator, and author. He is the Vice-President of Prosthetics for Hanger Clinic, a prosthetics and orthotics provider in the United States, and travels around the world providing care for patients with unique cases and disabled athletes. Most notably, in 2005, Carroll developed WintersGel, a material that disperses pressure evenly from a prosthetic limb onto skin, after creating a prosthetic for a baby dolphin who lost his tail after becoming entangled in the ropes of a crab trap. Now the material is used for human amputees including Brian Kolfage and Megan McKeon. In 2011, Kevin’s story was adapted into a film entitled Dolphin Tale.
Audit/Compliance: Research Intensive Focus

ASSESSING RISK IN A POST-AWARD RESEARCH ADMINISTRATION ENVIRONMENT

In recent years Harvard has implemented many policies and procedures to help meet the compliance requirements of local, state and Federal Government. As a research administrator you are intuitively assessing risk every day. This interactive workshop will provide a framework for evaluating risks, discuss what controls can be put in place to minimize risk, and present case studies of specific high risk areas. Come prepared for a little "clicker action" which will help you in your risk assessment decisions.

Learning Objectives:
• Participants will learn how to apply a risk assessment methodology through active participation in the development of a risk "heat map" for sponsored research administration.
• Participants will gain an understanding of the concepts of inherent and residual risk and the associated risk drivers.
• Participants will share and discuss approaches taken by various departments, labs and research centers in assessing and managing risk.

Prerequisite: Participants should have a minimum of 6 years in research administration/program management and a broad knowledge of the research administration regulatory environment.

Nuala McGowan*, Senior Manager for Compliance, Harvard University
Michael Monaghan, Director of Financial, Operational & Compliance Audit, Harvard University

Federal Update

RESEARCH TERMS AND CONDITIONS: THEN AND NOW...

This session will describe changes to the Research Terms and Conditions resulting from implementation of the Uniform Guidance. Participants will gain an understanding of the differences between the Research Terms modeled after A-110 versus what they will find with the Uniform Guidance.

Learning Objectives: Participants will gain an understanding of the new Research Terms and Conditions.

Prerequisite: Participants should come with some knowledge of previous research terms and conditions.

Jean Feldman*, Head, Policy Office of Budget, Finance & Award Management, National Science Foundation
Virtual Presenter: Michelle Bulls, Director, OPERA, National Institutes of Health

Human Capital

STANDARDIZING QUALITY OF SERVICE ACROSS ALL TEAM MEMBERS

Whether you come from a pre-award or post-award world, standardizing the quality of service you and your colleagues provide benefits both you and those with which you work. Through strategies including process mapping and on-the-job training, your office can maintain a consistent, high quality of work across individuals and teams.

Learning Objectives: Participants will learn how to inventory their office's tasks, leverage existing knowledge through group problem solving and map common processes.

Joan Kanner*, Assistant Director of Research Administration, Johns Hopkins University
Michelle Melin-Rogovin, Associate Director of Research Administration, Northwestern University
Post-Award Operations: Departmental Focus

SUBCONTRACTING FOR THE DEPARTMENTAL ADMINISTRATOR: GETTING DOWN TO BASICS
Managing subcontracts at the departmental level can be a daunting challenge for departmental administrators and PI's. This session will provide an overview of the lifecycle of subcontracts from proposal submission, award acceptance and management, to closeout. We will examine roles and responsibilities and provide some good business practices for subcontract administration at the departmental level.

Learning Objectives:
• Participants will examine the lifecycle of subcontracts administration.
• Participants will explore roles and responsibilities in managing subcontracts and interactions with central administrators.
• Participants will apply lessons learned through the use of case studies.

Prerequisite: Participants should have a basic understanding of subcontracts administration.

Takeia Bradley*, Contract Manager, University of Maryland, College Park
Marchon Jackson, Director of Finance and Administration, University of Maryland, College Park

Post-Award Operations: Departmental Focus

TRICKY SITUATIONS FOR THE DEPARTMENTAL ADMINISTRATOR
In managing a diverse and complex portfolio of sponsored funding alongside our daily departmental tasks, departmental research administrators often wear many hats and fill many roles. One critical role is that of the crisis manager, as the DRA strives to make sure everything runs smoothly... even when things deviate from business as usual or go completely awry. This session will examine several non-standard issues that departmental administrators may face, including navigating tricky travel situations, managing program income, dealing with difficult investigators, and more. The presenters will share real-life stories and encourage participants to do the same.

Learning Objectives:
• Participants will gain a broader understanding of the role of the departmental research administrator.
• Participants will learn how to recognize and approach non-standard research administration issues.
• Participants will gain insight into the department administrator’s role in navigating difficult situations.

Prerequisite: Participants should have a general understanding of the day-to-day tasks involved with being a departmental research administrator, and participants should be familiar with basic sponsored funding requirements and processes.

Csilla Csaplár*, Department Manager, Geophysics, Stanford University
Heather Offhaus, Director, Medical School Grant Review & Analysis, University of Michigan-Ann Arbor
Claudia Baroni, Research Administrator, Stanford University
10:15 – 11:30 am
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

CONCURRENT SESSIONS (CONTINUED)

0 Post-Award Operations: International Focus
INTERNATIONAL SUBRECIPIENTS – THE LONG AND WINDING ROAD
Are you responsible for issuing or managing international subrecipient agreements? If so, then you know they have interesting twists and turns. Don’t let challenging situations and unique issues that arise stand in the way of a productive international collaboration. Starting with the proposal and moving through effective subaward negotiation and subaward management and monitoring, the presenters will provide tips, tools and examples from our experiences. We will delve into the complexities of risk assessment and other compliance issues. We will discuss agreement terms and subrecipient oversight strategies that balance monitoring and micromanagement.

Learning Objectives:
• Participants will be provided with tools to identify potential export control, sanctions, and other compliance red flags that may require action before the collaborator can begin project work.
• Participants will be given specific examples of agreement terms that address key issues unique to international subawards.
• Participants will learn effective strategies for monitoring your international collaborators’ project work.
• Participants will learn how Uniform Guidance will affect international subrecipient monitoring.

Janet Simons*, Director, Research Policy, University of Maryland, Baltimore
David Brady, Director, Export and Secure Research Compliance, Virginia Tech

0 Post-Award Operations: PUI Focus
UNIFORM GUIDANCE ON INTERNAL CONTROLS – ARE WE READY?
The OMB Uniform Guidance states that “the non-Federal entity must establish and maintain effective internal controls... These internal controls should be in compliance with guidance in ‘standards for Internal Control in the Federal Government’ issued by the Comptroller General of the United States and the ‘Internal Control Integrated Framework’ issued by the committee of Sponsoring Organizations of the Treadway commission (COSO).” Join us for a discussion on the issue of tightening regulations, specific requirements and audit expectations relating to internal controls.

Learning Objectives:
• Participants will review the standards for an efficient internal control system.
• Participants will explore fundamental concepts behind the definitions.
• Participants will learn about limitations of internal control.
• Participants will examine a framework for evaluating internal control systems and their consistency with our organizations’ operation and mission.

Shella Batelman*, Senior Grant Administrator, Suffolk University
Robert Stemple, Director of Research Management & Finance, GeneSys Research Institute
Patricia McNulty, Principal Consultant, Concurrent Research

B Post-Award Operations: Research Intensive Focus
BUILDING BUDGETS 101
This session will cover the process of building a proposal budget, from concept and approach to some hands-on examples. This session is intended to be interactive.

Learning Objectives: Participants will learn about:
• General costing principles.
• Direct v. indirect costs.
• Mechanics of building a budget, with special attention to various bases used for F&A calculations.
• Tips and tricks for common budgeting problems.

Carly Cummings*, Assistant to the Dean, Research, Mississippi State University
Learning Objectives:

- Participants will better understand a standard approach for putting together an income statement of research operations.
- Participants will review below the line vs. above the line income statement considerations.
- Participants will discuss basic revenue enhancement and cost takeout opportunities based on the income statement.

Keith Graff*, Director, Health Industries Advisory, PricewaterhouseCoopers, LLP
Steven Lichtenstein, Director, Sponsored Research & Funds Administration, Cedars-Sinai Medical Center

Costing/F&A

REVIEW OF RETURN ON INVESTMENT (ROI) FROM RESEARCH CENTERS AND CORES, SPECIALIZED SERVICE FACILITIES
A lot of investment goes into planning, setting-up and running a research core or specialized service facility - from investments of time for all personnel involved, to financial investments, big and small. It is imperative that this invaluable investment be tracked and expectations of success be laid out from the get-go so that centers can know if they are fulfilling the purpose and mission for which they were created in the first place. A few questions arise: What type of investments and outcomes should be tracked, who tracks them, who reports them, to whom, how do centers know that they are being successful in fulfilling their missions, what are the strategic measures of success, what metrics are used, and what are the benchmarks?

Justine Karungi*, Assistant Director, University of Kansas Medical Center
Tom Colella, Director of Core Research Facilities Administration, Arizona State University Main
Shauncey Hill, Business Manager, Institute for Imaging & Analytical Technology, Mississippi State University
10:15 – 11:30 am

**CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS**

**DISCUSSION GROUPS (CONTINUED)**

### Costing/F&A

**UNIFORM GUIDANCE ISSUES FOR THE PUI**

OMB recently issued the most extensive reform of Federal grant rules in years. The new guidance consolidates the OMB circulars on cost principles, administrative requirements and non-Federal audits for all recipients (states, education institutions and non-profits) and makes major changes to the Federal rules in many areas. This discussion will focus on some of the major changes to the cost principles for PUI educational institutions.

**W. Scott Erwin**, Sr.*, Director, Office of Sponsored Programs, Texas State University

### Human Capital

**CREATING LIFELINES – STRATEGIES TO DEVELOP CENTRAL OFFICE AND DEPARTMENT ADMINISTRATOR COLLABORATIONS**

Even though the Central Office and Department Administrators share a common goal of supporting faculty and the Institution, these two groups often find themselves at odds with each other. This session will discuss the most common struggles that occur between Central Office staff and Department Administrators, including both pre- and post-award issues. Participants should come prepared to share strategies that have been employed at their own institution as well as glean best practices from others.

**Lisa Mosley**, Executive Director, Research Operations, Arizona State University

**Stacy Esposito**, Director, Research Advancement, Fulton Schools of Engineering, Arizona State University

### Medical/Clinical

**CLINICAL TRIALS: POST-AWARD ISSUES**

This is a discussion group that will discuss current “hot topics” in clinical trials from terms and conditions in agreements to effects from the publication of the Sunshine Act. Bring your questions or topics that you would like to discuss with your colleagues and share your institution’s guidelines and policies for topics on the table.

**Bonnie Regini**, Senior Grants and Contracts Officer, Georgetown University Medical Center
10:15 – 11:30 am
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

SPARK SESSIONS

10:15 – 10:35 am
DIRECT CHARGING & THE UNIFORM GUIDANCE

Carrie Chesbro*, Sponsored Projects Administrator
Post-Award, University of Oregon
Anne Feuerborn, MAXIMUS Higher Education Practice

10:45 – 11:05 am
HOW TO EXPLAIN F&A RECOVERY TO FACULTY MEMBERS

Sarah T. Axelrod*, Director of Cost Analysis and Compliance, Harvard University

11:15 – 11:30 am
POINTERS FOR IMPROVING THE WORKING RELATIONSHIP BETWEEN INTERNAL AUDIT AND SPONSORED RESEARCH ADMINISTRATION

Julie Luster*, Senior Auditor, Princeton University
Kimberly Ginn, Principal, Baker Tilly, LLP

11:30 am – 1:00 pm | LUNCH

1:00 – 2:15 pm
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

Audit/Compliance: Departmental Focus
MY SHADOW AND I: IDEAS ON HOW TO BETTER MANAGE YOUR SPONSORED AWARD PORTFOLIO
This discussion group focuses on ways to facilitate effective reporting. The session will contain ideas on how to create an award portfolio monitoring spreadsheet, as well as tools that will enhance forecasting of revenues and expenditures. It will also show easy ways to make these financial tools faster to read for the final users (PIs).

Learning Objectives:
• Participants will leave understanding the needs of PIs when reviewing financial information.
• Participants will learn how to think in excel mode.
• Participants will be able to present data effectively.
• Participants will improve on forecasting techniques.
• Participants will be able to perform an analysis of financial information.

Prerequisite: A basic knowledge of Excel is helpful when attending this session.

Ricardo Roques*, Senior Research and Financial Administrator, Georgetown University Medical Center
Muftiat Fahm, Director of Decision Support, Financial Analysis & Planning-GUMC, Georgetown University
Donna Jean Garrett, Director, Finance and Administration, Georgetown University
Audit/Compliance: International Focus

BUILDING INTERNATIONAL RESEARCH ADMINISTRATION CAPACITY: A CASE STUDY

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, and levels of resources and infrastructure. 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 together on a process to understand each other, 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 joint effort between the University of California, San Francisco (UCSF), Dartmouth College and Muhimbili University of Health and Allied Sciences (MUHAS) is the result of an NIH funded grant to develop a sponsored projects office at MUHAS. The session will allow for discussion of real world problems that leap beyond exchanges of audit reports and invoices.

Learning Objectives:
• Participants will discuss and understand approaches to international collaboration and subrecipient relationships.
• Participants will hear and contribute examples of real challenges across the spectrum of institutional models.

Prerequisite: Participants should have a basic understanding of federal subrecipient requirements.

Jill Mortali*, Director, The Office of Sponsored Projects, Dartmouth College
Nana Mgmwia, Muhimbili University of Health and Allied Sciences
Regnier Jurado, Associate Director, Office of Sponsored Research, Research Management Services, University of California, San Francisco

Costing/F&A: Departmental Focus

FACILITIES AND ADMINISTRATIVE (F&A) RATE NEGOTIATIONS – IT TAKES AN ARMY...

Preparing a Facilities and Administrative Rate Proposal is time consuming and extremely complex. Negotiating those rates with the government can be even more of a challenge and involves individuals all across campus. This session will remove some of the mystery behind the F&A negotiation process and will describe how you, as departmental administrators, can be front line contributors on a daily basis. This session will discuss some success stories and pitfalls you need to avoid. Bring your questions, concerns, and your institution’s experience for what is sure to be a lively discussion!

Learning Objectives:
• Participants will share experiences and learn best practices for dealing with federal negotiators to obtain an approved F&A rate agreement.
• Participants will learn how various issues impact the F&A rate calculation and negotiation process.

Cathy Snyder*, Director, Vanderbilt Costing Activities, Office of Contract and Grant Accounting, Vanderbilt University
Heather Offhaus, Director, Medical School Grant Review & Analysis, University of Michigan Ann Arbor
1:00 – 2:15 pm
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

CONCURRENT SESSIONS (CONTINUED)

A  Costing/F&A: Research Intensive Focus
HOW TO IMPLEMENT NEW F&A SOFTWARE FROM A USER’S PERSPECTIVE
Embarking on evaluating, selecting, and implementing new F&A software or any costing software can be a daunting task. In this session, you will learn from firsthand knowledge the various complexities surrounding a system implementation.

Learning Objectives: Participants will gain an applied understanding and expectations about the process of implementing new F&A software.

Prerequisite: Participants should have a familiarity with F&A rate calculation and terminology.

Kevin Nguyen*, Costing and Policy Manager, University of California, San Diego
Stanley Baires, Financial Analyst, University of Southern California

U  Federal Update
NSF AUDIT RESOLUTION PROCESS
NSF Management is responsible for resolving compliance, internal control, and questioned cost findings identified in audits of NSF awardees. Findings related to NSF-funded awards may be contained in mandated Office of Management and Budget (OMB), A-133 (Single Audit), Circular or NSF Office of the Inspector General (OIG) audit reports. Because audit findings have the potential to jeopardize current and future funding, and can result in cost disallowances that require organizations to make repayments to NSF, organizations should cooperate with NSF to promptly resolve all audit findings.

Learning Objectives:
• Participants will have a better understanding the roles and responsibilities of the auditor, the auditee, and the resolution official.
• Participants will have a better understanding of basic protocol of the audit resolution process.
• Participants will have a better understanding NSF expectations for addressing audit findings, including questioned costs.
• Participants will gain an awareness of common audit findings.
• Participants will have a better understanding of NSF’s Management Decision, including corrective actions and follow-up.

Prerequisite: Participants should be familiar with the auditing process at their institutions.

Alexander Wynnyk*, Chief, Cost Analysis & Audit Resolution Branch, National Science Foundation
Rochelle Ray, Team Lead, National Science Foundation
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

CONCURRENT SESSIONS (CONTINUED)

**Medical/Clinical: Research Intensive Focus/International Focus**

**TAKING YOUR CLINICAL TRIAL GLOBAL: FROM AGREEMENT TO IMPLEMENTATION...WHAT ARE THE THINGS TO CONSIDER**

This workshop will focus on best practices for implementing both investigator-initiated and industry-sponsored international clinical trials. It will provide an in-depth understanding and practical advice for navigating complex issues related to international clinical trials, focusing on key administrative, contractual, financial, and regulatory issues that arise in planning, funding, contracting and conducting international clinical trials. We will discuss many areas of the clinical trial process, including: the unique complex regulatory environment related to international clinical trials; contractual arrangements to consider and key negotiation issues that often arise in an international clinical trial agreement; developing and managing an international clinical trial budget and expenditures; and, institutional models to manage regulatory challenges such as research billing, ClinicalTrials.gov regulations, and NIH clinical trials.

**Learning Objectives:**
- Participants will be provided with an overview of the unique regulatory environment for international research.
- Participants will learn how to manage multifaceted issues that often arise in a negotiation of international clinical trial agreements.
- Participants will have an understanding of how a trial budget is developed, managed, and how costs are managed.
- Participants will have a better understanding of the complexities of managing multiple sites involved in international research.

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

Tesheia Johnson*, Associate Director of Clinical Research for Yale School of Medicine CCO, YCCI, Yale University

---

**Post-Award Operations:**

**Departmental Focus**

**I AM A RESEARCH ADMINISTRATOR: NOW, HOW DO I FIX THIS DEPARTMENT?**

You’re the department manager or finance officer and everything seems to be wrong: the numbers don’t add up, everything is late, the staff are ill-trained and on top of it all, the faculty are grumpy; they don’t want change, they want to be left in peace to spend “their” money the way they always have – freely and without anyone questioning their choices. The central offices are on you to get everything cleaned up, but where do you start? With the money, of course! This concurrent session will go over what the most important problem areas are in departmental finance and strategies for getting them fixed.

**Learning Objectives:**
- Participants will identify areas of weakness in their department.
- Participants will be able to prioritize the seriousness of the issues to be addressed.
- Participants will learn how to fix the issues with a minimum of upheaval.

**Prerequisite:** Participants should have a minimum of three years as a research administrator, with a working knowledge of post-award administration.

Anne Albinak*, Senior Administrative Manager, Whiting School of Engineering, Johns Hopkins University

Tolise Miles*, Senior Grants & Contracts Specialist, Grants and Contracts Administration and Finance, Children’s National Medical Center
Post-Award Operations:
Departmental Focus

FACULTY TRANSFERS: HELLO AND GOODBYE
This presentation will focus on the many responsibilities and duties that face the Department Administrator to achieve a successful faculty transfer. The session will provide a checklist of specific duties and “best practices” that must be accomplished to ensure a seamless transfer. The presentation will also provide actual case studies and real life scenarios so that the audience and presenters can speak to these “what would you do now” or “how would you handle this” situations.

Learning Objectives:
• Participants will be given an overview of the current DHH S transition plan.
• Participants will learn about the potential challenges to the university community.
• Participants will explore the need for staffing and systems changes to accommodate the transition.

Prerequisite: Participants should have a general understanding of institutional financial systems, cash management and reporting.

Krystina Gross*, Manager, Sponsored Projects Accounting, Washington University in St. Louis

Post-Award Operations:
PUI Focus

CASE STUDIES IN BUILDING A COLLABORATIVE RELATIONSHIP BETWEEN PRE- AND POST-AWARD STAFF IN PUIS TO ENSURE RELIABLE POST-AWARD MANAGEMENT AND REPORTING
This session will look at the diverse ways pre- and post-award offices are set up and how they can improve communications and process, particularly in light of new EDGARS and circular mandates. Participants will work in groups to look at a series of scenarios and devise areas of risk and methods for improvement.

Learning Objectives:
• Participants will be able to recognize potential risks in their own particular institutional setup.
• Participants will come away with strategies to minimize risk.
• Participants will share with each other successful policies and procedures that meet EDGAR and Circular requirements.

Patricia Zibluk*, Director, Sponsored Programs and Research, Southern Connecticut State University

Post-Award Operations:
Research Intensive Focus

NIH SUBACCOUNT TRANSITION
This session will discuss the NIH transition from a pooled draw to a Sub Account (Award by Award) draw. The presentation will discuss the challenges for both central administration as well as department research administrators during the transition process. The key topics will include account transition issues, FFR reporting, final draw timing, subcontracts, invoicing, and increased workload. There will be time for questions and discussion about how other institutions are managing the transition.

Learning Objectives:
• Participants will be given an overview of the current DHHS transition plan.
• Participants will learn about the potential challenges to the university community.
• Participants will explore the need for staffing and systems changes to accommodate the transition.

Prerequisite: Participants should have a general understanding of institutional financial systems, cash management and reporting.

Krystina Gross*, Manager, Sponsored Projects Accounting, Washington University in St. Louis

Guiding FRA from Theory to Practice
1:00 – 2:15 pm
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

CONCURRENT SESSIONS (CONTINUED)

1. Post-Award Operations: Research Intensive Focus

SERVICE CENTER FINANCIAL MANAGEMENT: ESTABLISHMENT, OPERATION, AND COMPLIANCE
This session will cover the financial management of Specialized Service Facilities, Service Centers, and Recharge Operations. The participant will gain a better understanding of costing mechanisms for service centers, allowable costs, equipment depreciation, and compliance concerns.

Learning Objectives:
• Participants will learn the fundamentals of costing for service centers.
• Participants will gain an understanding of the compliance related to these centers.

Prerequisite: A basic understanding of service centers is required to attend this session.

Wanda Vega*, Controller, The Broad Institute of MIT and Harvard
Alice McKenney, Senior Research Administrator, The Broad Institute of MIT and Harvard

DISCUSSION GROUPS

Audit/Compliance

EXPORT CONTROLS AND THE NEW CUBA
This session will discuss the recent changes to the Office of Foreign Assets Control (OFAC) and Bureau of Industry and Security (BIS) regulations concerning Cuba and how they affect a University’s ability to perform research and educational activities in Cuba.

Jessica Buchanan*, Associate Director, Export Compliance, University of Pennsylvania

Human Capital

MIND YOUR MEETING MANNERS: THE EFFECT OF BEHAVIOR ON PERCEPTION AND COMMUNICATION
In the hectic office environment, etiquette can easily fall victim to the Twitter character count mentality. Is this effective or efficient communication? In this session, we explore the affect of manners and office behavior on the perception of co-workers, climate, and overall quality of work interaction.

Joan Kanner*, Assistant Director of Research Administration, Johns Hopkins University
Jennifer Toll, Senior Research Service Analyst, Johns Hopkins University
Post-Award Operations
GOING ELECTRONIC: CONVERTING FROM PAPER POST-AWARD FILES WHEN RESOURCES ARE LIMITED
Post-award administration is record-intensive. But, in the 21st century, paper is so passé! Electronic filing offers tremendous benefits to both efficiency and organization of award files and can be accomplished with limited resources. But, it’s not a panacea - without proper processes, electronic files can become as unorganized and time consuming as the most unwieldy paper files. If you are thinking about, or have recently begun, ‘going electronic,’ then this discussion session is for you. Join a lively conversation focused on experiences with, and best practices for, converting paper-based award files to an electronic filing system. The presenters, representing a Sponsored Programs Office at an emerging research institution with limited resources, recently made the switch and will share their experiences, lessons learned, and challenges faced. Participants should bring their own experiences, questions, and ideas to share.

Cathy Harlan*, Director, Office of Sponsored Programs, Nova Southeastern University
Ashley Whitaker*, Assistant Director, Office of Sponsored Programs, Nova Southeastern University

SPARK SESSIONS

1:00 – 1:20 pm
MANAGING PROJECT CLOSEOUTS
Nicholas Fisher*, Research Administrator, Boston Children’s Hospital
Joyce Ferland, Director, Sponsored Programs Accounting, Tufts University

1:30 – 1:50 pm
THE WRITE STUFF: WRITING FOR THE NCURA MAGAZINE
Kris Monahan*, Director of Sponsored Research and Programs, Providence College

2:00 – 2:15 pm
GET TO KNOW NCURA’S PROFESSIONAL NETWORKING PLATFORM - COLLABORATE AND SOCIAL MEDIA
Stephanie Moore*, Community Curator, National Council of University Research Administrators

2:15 – 2:45 pm | NETWORKING AND REFRESHMENT BREAK
2:45 – 3:45 pm
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

CONCURRENT SESSIONS

Audit/Compliance: Departmental Focus
INTERNATIONAL SUBRECIPIENT MONITORING
Delve into the complicated world of monitoring international subrecipients and all the pitfalls to be aware of when subcontracting outside the United States. This concurrent session will include an in-depth discussion of monitoring best practices, contracting concerns, red flags, and case studies. Learn how to protect your institution and keep your sponsors happy even with the toughest subrecipients.

Learning Objectives:
• Participants will be able to identify risk analysis elements that differ internationally.
• Participants will recognizing the high risk international subrecipient.
• Participants will learn to modify contract language to protect the institution.
• Participants will discuss ongoing monitoring of international subrecipients.

Prerequisite: Participants should have knowledge of subrecipient monitoring and subaward contracting.

Laura Register*, Subrecipient Monitoring Officer, Stanford University
Kim Garrison, Director of Post-Award, University of Pennsylvania

Audit/Compliance: Research Intensive Focus
UNIFORM GUIDANCE AND INTERNAL CONTROLS – WHAT DO YOU REALLY NEED TO KNOW?
OMB’s Uniform Guidance places heavy emphasis on the adequacy of internal controls, mentioning the phrase “internal control” 75 times in its 103 pages. This final rule moves guidance that previously was only discussed in audit requirements (which are often only considered after the funds have been spent) into the administrative requirements to encourage non-Federal entities to better structure their internal controls earlier in the process. What does this really mean for sponsored award administrative units in maintaining compliance with the Uniform Guidance?

Learning Objectives:
• Participants will obtain a holistic understanding of what is meant by “internal control” using the Committee on Sponsoring Organization’s (COSO) integrated framework.
• With an understanding of internal control in this broader context, participants will be able to review their processes with an auditor’s eye and identify opportunities to strengthen their system of internal control.
• Participants will examine best practice internal control elements for sponsored award administration.

Prerequisite: Participants should have a working knowledge of pre- and post-award administration processes.

Louise Reist*, Associate Director, Risk & Audit Strategy, Harvard University
Costing/F&A: Research Intensive Focus
FINANCIAL MANAGEMENT OF YOUR AWARD: FACULTY, DEPARTMENT ADMINISTRATOR AND POST-AWARD WORKING TOGETHER

Good financial management of an award should begin with the initial budget proposal and continue through the life of the award and culminate during the award closeout process. With cooperation among the PI, department personnel, and post-award administration, the award can be more effectively managed. With coordination and collaboration, transactions can be processed more efficiently, cost transfers can be kept to a minimum, the likelihood of an overrun can be decreased, and the closeout process easier and timely. In this session, we will discuss the various stages of the award and how working together can be an improvement for all.

Learning Objectives:
• Participants will increase their awareness of the PI's, departmental administration's and post-award's perspectives.
• Participants will gain knowledge about current issues and standard practices within financial compliance areas.

Prerequisite: Participants should have experience with sponsored awards in a departmental or central office performing post-award management.

Timothy Reuter*, Director of Post-Award, Stanford University

Costing/F&A: Research Intensive Focus
HOW TO PREPARE A SHORT FORM PROPOSAL

Schools with less than $10 million in federal awards can use the simplified method also known as the Short Form to calculate, submit and negotiate their Facilities and Administrative Cost Proposal (F&A). This session will walk through the process that should be followed when preparing a short form proposal. Included will be an overview of the process, the data needed, the typical adjustments and transfers, what needs to be submitted, and the timing and negotiation process. Also discussed are the differences between the short form and long form methodologies and when it makes sense to change.

Learning Objectives:
• Participants will learn to understand the Short Form methodology.
• Participants will learn to understand the basic proposal methodology.
• Participants will learn to understand the submission and negotiation process.

James Carter*, Managing Director, Huron Consulting Group
**Federal Update**

**EFFORT REPORTING IN THE AGE OF THE UNIFORM GUIDANCE**

Join us for a session to review the changes to effort reporting in the Uniformed Guidance. The specific examples contained in A-21 have been eliminated providing institutions more flexibility to develop systems and processes that will meet the documentation requirements. The changes, including the added emphasis on the internal control system, create questions on how personnel charges will be audited in the future. The Federal Demonstration Partnership (FDP) has piloted Payroll Certification (an alternative to effort reporting) at four FDP institutions since 2011. We will review the background, structure and current status of the pilots. We hope the experiences and lessons learned will inform the broader research community as institutions evaluate potential changes to their own systems.

**Learning Objectives:**
- Participants will learn to compare traditional effort reporting with the FDP Payroll Certification Pilot
- Participants will learn to review the results of the George Mason pilot including faculty feedback
- Participants will learn to review the Uniform Guidance standards for documenting personnel expenses

**Prerequisite:** Participants should have a general understanding of effort reporting.

Michael Laskofski*, Associate Vice President of Research Operations, Office of Sponsored Programs, George Mason University

---

**Human Capital**

**HOW TO DEVELOP AND CREATE A NCURA YOUTUBE TUESDAY VIDEO**

NCURA’s YouTube Channel, www.youtube.com/user/NCURA1959/, began featuring weekly 2-3 minutes shorts on research administration topics in July of 2012. 2 1/2 years later we have almost 1,000 subscribers and we have had over 260,000 views! A new video is sent to NCURA’s 7,000 members each week with our YouTube Tuesday initiative. We tape YouTube videos at national and regional meetings, and members send them in. During this session, we will share the very easy formula and worksheet to prepare a video to be featured on YouTube Tuesday. We’ll be taping during the session as well so come and create your piece with the support of your colleagues! A permanent link is created for the video and we encourage you to include the link to your video on your resume, LinkedIn Profile and on your Volunteer Applications. We hope you will join us for this opportunity to benefit the profession and your career!

Tara E. Bishop*, Associate Executive Director, National Council of University Research Administrators
Human Capital

WHEN CULTURES COLLIDE: UNDERSTANDING RESEARCH ADMINISTRATION IN THE CONTEXT OF YOUR INSTITUTION’S CULTURE

The research administration culture is fast paced and ever changing. It requires structure as well as creative solutions. Your institution likewise has its own culture, a culture that is generally not fast paced and usually slow to change. At times, institutional norms of behavior and practices are not responsive to the more immediate needs of research administration, and these collisions create stress points.

One key component to successfully integrating research administration functions into your institution is understanding your institution’s culture and environment and how those elements frame our operations.

This session will discuss specific elements that are indicative of an institution's culture and how to assess those elements. Strategies for integrating the needs of research administration into that culture will be shared through participant discussion. Trends from NCURA Peer Program engagements will illustrate some aspects of how an institution’s culture influences operations and the type of recommendations offered.

Learning Objectives:
- Participants will learn techniques for assessing their institutions’ culture and environment
- Participants will learn tactics for addressing cultural impediments to research administration needs
- Participants will share lessons learned in helping their institutions understand their research administration needs.

Peggy S. Lowry*, Program Director, NCURA Peer Programs, National Council of University Research Administrators

Post-Award Operations: Departmental Focus

EFFORT REPORTING FOR DEPARTMENTAL STAFF

Effort Reporting is the common approach used many colleges and universities to fulfill the requirement of the Uniform Guidance, Subpart 200.430 – Compensation for Personal Services. For departmental administrators, the operations at the local level may encounter different challenges such as: submitting a budget based on Institutional Base Salary and PI’s commitment; salary planning/direct charging awards; salary paid 9 over 12; communication with PIs to ensure appropriate charges, cost transfers; and, late finalization of subcontracts. We will review and discuss these topics. Tools or templates used at the department level will also be discussed.

Learning Objectives: Participants will gain a further understanding of the effort reporting practice and ways to resolve some challenges at the department level.

Prerequisite: Experience in the effort reporting operations at the department level is required to attend this session.

Jennifer W. Mitchell*, Director of Cost Studies and Effort Reporting, Northwestern University
Deborah Cundiff, Business Administrator, Biomedical Engineering Department, Northwestern University
Gretchen Talbot, Assistant Dean for Research and Graduate Studies, Northwestern University
Ann Wheatley, Chemistry Department Administrator, Northwestern University
Post-Award Operations: PUI Focus

SUPPLEMENTARY COMPENSATION FOR FACULTY AT PUIs

This session will provide a comprehensive overview of supplementary compensation related to unique faculty workload structures of PUIs within the framework of 2 CFR 200.430. This session will include discussions on the different types/definitions of additional compensation and the potential benefits and risks of allowing such compensation. Examples of policies and procedures will also be provided.

Learning Objectives:
- Participants will learn what policies and procedures must be in place at a PUI to allow supplementary compensation and to minimize audit risk.
- Participants will learn to create internal policy and procedures unique to their institution to address supplementary compensation.
- Participants will identify necessary information to include in sponsor proposals at the pre-award stage to appropriately address supplementary compensation.
- Participants will learn what information and approval procedures should be in place at the post-award stage to verify allowability of supplementary compensation and to minimize audit risk.

Daniel Marangoni*, Director of Research and Sponsored Programs, Rogers State University

Post-Award Operations: International Focus

MITIGATING THE FINANCIAL AND COMPLIANCE RISKS ASSOCIATED WITH INTERNATIONAL SHIPMENTS SUPPORTING GLOBAL COLLABORATIONS

As research becomes increasingly more global, institutions are challenged more frequently to send research materials and equipment through international channels. Whether sending or receiving, the challenges of international shipping and procurement can be daunting to the research team. Lack of understanding of shipping procedures can cause delay in customs clearance, returned shipments, or payment of import duties or taxes that may have been avoided. Packaging and shipping of equipment and materials are crucial to international research collaboration, and this session will explore these issues and present some solutions adopted by university colleagues. It will also include examples of how to mitigate costs of imports by using CARNETS, the Duty-Free-Program for Scientific Equipment, Free Trade Agreements and more.

Learning Objectives:
- Participants will become familiar with some of the terms and requirements for international shipping used in university research.
- Participants will learn strategies and approaches used by university administrators to overcome hurdles and obstacles of international shipping.
- Participants will learn integration strategies for creating processes and working with other university offices and officials to accomplish the exchange of materials used in global research.

Prerequisite: Participants should have a general knowledge of multi-site research collaborations and should be familiar with international projects and cross-border research.

Norman Hebert*, Director, International Research Administration, Brown University
Marie Hladikova, Export Control Director, Boston University
Post-Award Operations: Research Intensive Focus

COST TRANSFERS
A cost transfer is an after-the-fact reallocation of costs. Mistakes are sometimes made so, what is the problem? What makes the problem bigger? We will discuss both appropriate and inappropriate reasons for cost transfers and best practices for documenting the appropriate ones and eliminating the inappropriate ones.

Learning Objectives:
• Participants will learn to identify and discuss challenges related to cost transfers.
• Participants will also learn and discuss ways to reduce cost transfers.
• Participants will discuss examples as well as the audit risks involved with cost transfers.

Prerequisite: Participants should have a general understanding of what cost transfers are and why they can be problematic.

Tammy Hudson*, Associate Director, Contract & Grant Accounting, University of Alabama
Michelle Melin-Rogovin, Associate Director of Research Administration, Northwestern University

Audit/Compliance
Follow-up to Concurrent Session: “My Shadow and I: Ideas on How to Better Manage Your Sponsored Award Portfolio,” held at 1:00 pm

MY SHADOW AND I
This panel presentation focuses on ways to facilitate effective reporting. The session will contain ideas on how to create an award portfolio monitoring spreadsheet, as well as tools that will enhance forecasting of revenues and expenditures. It will also show easy ways to make these financial tools faster to read for the final users (PIs). We will focus on idea sharing and merging of ideas.

Muftiat Fahm*, Director of Decision Support, Financial Analysis & Planning-GUMC, Georgetown University
Donna Jean Garrett, Director, Finance and Administration, Georgetown University
Ricardo Roques, Senior Research and Financial Administrator, Georgetown University Medical Center

Costing/F&A
ISSUES ON DIRECT CHARGING AS A RESULT OF UNIFORM GUIDANCE
This discussion group will focus on the implications of the Uniform Guidance’s new direct charging guidelines. How will this impact policies and procedures at your institution? What oversight is needed, and what are the audit considerations? What are the risks and rewards of the new guidance?

Anne Feuerborn*, Senior Manager, MAXIMUS Higher Education Practice
Carrie Chesbro, Sponsored Projects Administrator, Post-Award, University of Oregon
2:45 – 3:45 pm
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

DISCUSSION GROUPS (CONTINUED)

**Human Capital**

**FINDING EFFECTIVE TOOLS TO BUILD HIGH-PERFORMING TEAMS AND LEADERS**

At a time when many organizations are experiencing rapid employee turnover, or dysfunction within the office, it is critical to build teams quickly and identify leaders. Numerous roads are available to assist in the process and knowing about the upside and downside of tools such as the MBTI or the DiSC can help you jump-start your team. The qualities of a good leader; how to build leaders through delegation, and why some managers have difficulty doing this; emotional intelligence; mentoring, encouraging, and challenging; and how even small everyday items can make a huge difference to staff, will be discussed. We'll end the session with a discussion on what you can do to increase your leadership opportunities along with, "Not everyone wants to be a leader, and that's OK" and how to identify those staff you should not attempt to push up the leadership ladder. Come prepared to share ideas in this interactive session.

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

---

**Medical/Clinical**

**CLINICAL TRIAL MANAGEMENT: CONTRACT NEGOTIATION AND FINANCE: A SITE’S PERSPECTIVE**

A facilitated discussion from a central office site perspective on the challenges and lessons learned in the management of clinical trials. The focus will be in the areas of contract negotiations (pre-award), the necessary involvement from the research finance team (post award) and the critical element of open communication among all the 'players.' Offering opportunity for sharing policies and best practices.

**Gina McMahon**, Director of Research Accounting, State University of New York Upstate Medical University

**Jennifer Rudes**, Director, Sponsored Programs Pre-Award & Clinical Trials Officer, State University of New York Upstate Medical University

---

**SPARK SESSIONS**

2:45 – 3:05 pm
**THE UTILITY COST ADJUSTMENT (UCA) – HOW DO YOU GET YOUR SHARE OF THE PIE?**

**Mira Levine**, Manager, MAXIMUS Higher Education Practice

3:15 – 3:35 pm
**FRA IN A SMALL OFFICE: WHO’S JOB IS IT?**

**Margarita Cardona**, Director, Sponsored Research & Faculty Development, University of Baltimore
INTE R N A T I O N A L C O N S I D E R AT I O N S IN R E S E A R C H A D M I N I S T R A T I O N

This session will examine and address some of the rules, regulations, and practicalities when conducting research activities abroad. We will address U.S. rules and regulations that apply in international collaborations, such as FCPA, Anti-Boycott laws, Export Control statutes, and U.S. economic sanctions. We will also discuss foreign, legal and financial considerations that vary country to country and program to program, such as: entity legal status and registrations, leasing space, hiring and staffing projects, cash and banking, insurance, equipment considerations, and using local partners projects, cash and banking, insurance, equipment considerations, and using local partners and vendors. We will walk through actual cases to help demonstrate practicalities and best practices, as well as problems and challenges that arise in international programs.

Learning Objectives:
- Participants will learn about questions to ask and special considerations to be made when conducting research internationally.
- Participants will develop some best practices and tools to be used in international collaborations.
- Participants will gain an understanding of the department and central administration partnering necessary to operate in a global environment.

Prerequisite: Participants should have a general knowledge of how to manage research projects as well as basic expose to international projects or collaborations.

Artemis Koch*, Executive Director of Global Support Services, University of Pennsylvania
Norman Hebert, Director, International Research Administration, Brown University
4:00 – 5:00 pm
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

CONCURRENT SESSIONS (CONTINUED)

1  Audit/Compliance: Research Intensive Focus
RESPONDING TO AUDITS
Did you ever want to know when and how you should respond to an audit? This session will discuss strategies for responding to audits. We will also examine unusual audit requests that may arise and how to respond to those requests. Other areas to be discussed include what to do if the audit involves subrecipients, and you are the prime organization, or what to do if the audit involves malfeasance, or possible criminal implications.

Learning Objectives:
• Participants will increase their knowledge of appropriate responses to audit findings.
• Participants will be able to discuss new strategies for responding to an audit.
• Participants will be able to discuss best practices used in responding to an audit.

Prerequisite: Participants should be departmental or central administrators with knowledge of auditing procedures.

Marianne Woods*, Academic Program Director, Master of Science in Research Administration, Kreiger School of Arts and Sciences Advanced Academic Programs, Johns Hopkins University
G. Margaret Griscavage, INBRE Liaison University of Alaska Fairbanks
Jeremy Forsberg, Assistant Vice President of Research, The University of Texas at Arlington

A  Costing/F&A: Research Intensive Focus
PREPARING AND CONDUCTING SPACE SURVEYS – THE DRIVER OF THE FACILITIES COMPONENT
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. After initially covering the impact of space on the rate calculation, this session will focus primarily on the actual implementation of a space survey through the stages of preparation, implementation, and analysis.

Learning Objectives:
• Participants will be able to explain the specific impacts of the space survey on the F&A rate calculation.
• Participants will learn about strategies which will maximize efficiencies in the process and ensure compliance from the university/institutional community.
• Participants will come away with ideas as to how to manage the resources (time, labor, etc.) for a project of this scale.

Prerequisite: Participants should have a basic understanding of the F&A rate and the fundamentals of the calculation.

Josh Rosenberg*, Director, Cost Studies, Emory University
Paula Milano*, Executive Director, Space & Capital Programs, University of California, Berkeley
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

4:00 – 5:00 pm

Federal Update
E.U.-U.S. TERMINOLOGY SESSIONS
Research is global, but funding schemes, sponsors and award terminology are not as global. Based on a series of workshops funded by European Union under FP7, this session will showcase terminology differences in both pre- and post-award areas. The presenters were part of the faculty for these workshops under the BILAT USA 2.0 project.

Learning Objectives: Participants will learn the terminology distinctions between EU and U.S. grants management.

Prerequisite: Participants should have a general understanding of grants management terms.

Patricia Hawk*, Director, Sponsored Programs, Oregon State University
Eva Björndal, Team Leader, Post-Contract and Finance Compliance, Karolinska Institute, Sweden
Regina Notz, Research Manager, University of Zurich

Human Capital
EFFECTIVE SPONSORED RESEARCH ADMINISTRATION COMPLIANCE TRAINING PROGRAMS
This session will provide an overview on how to develop, manage and monitor effective training programs to create a culture of compliance. We will discuss metrics, cultural norms, HR and management support, maintenance, and compliance in the context of training.

Learning Objectives:
• Participants will learn how to implement training programs.
• Participants will assess metrics that can be used to measure effectiveness of training programs.
• Participants will discuss stakeholder analysis and the impact of culture on institutional compliance training programs.

Roseann Luongo*, Associate Director, Training and Compliance, Harvard University
Julie Cole, Director of Research Costing Compliance, Duke University

Medical/Clinical: Departmental Focus
CLINICAL TRIALS: COVERAGE ANALYSIS – THE CORNERSTONE OF CLINICAL RESEARCH BILLING
This session will provide participants with the foundations of creating a compliant clinical research billing process. The session will review the clinical research billing process from the submission of the protocol for IRB approval to the termination of the study. It will focus on the key foundational requirements to ensuring clinical research billing meets regulatory requirements and adds value for the institution/organization.

Learning Objectives:
• Participants will learn how to develop a clinical trial budget.
• Participants will learn how to develop a coverage analysis for patient care costs.
• Participants will gain an understanding of billing compliance issues and tips on how to avoid compliance risks associated with research patient care billing.
• Participants will gain an in-depth understanding of how to develop a clinical trial budget and effective management of a trial including financial close out.

Mary Vezzie*, Executive Director, Clinical Research Finance, University of Texas M.D. Anderson Cancer Center
Govind Narasimhan, Director of Research Finance, University of Texas M.D. Anderson Cancer Center
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

CONCURRENT SESSIONS (CONTINUED)

Post-Award Operations: Departmental Focus

USING FORECASTING AND REPORTING TO MEET YOUR DEPARTMENT GOALS

The session will focus on tools and techniques involved in the forecasting process. In addition, we will cover how the forecast process can be used to produce better reports for sponsored research projects, department operating expenses, central department reporting and other types of funding. Participants should leave this session with a basic understanding of the fundamentals of forecasting and various reporting techniques.

Learning Objectives:
• Participants will learn how to build a basic forecast template.
• Participants will learn how to develop a summary report from your forecast.
• Participants will learn to identify key metrics in reporting.
• Participants will be able to make data clear and coherent to all stakeholders.
• Participants will discuss challenges in implementing a forecast and reporting process.
• Participants will learn how to get buy-in from key stakeholders.

Marchon Jackson*, Director of Finance and Administration, University of Maryland
Crystal Umuru, Senior Financial Coordinator, University of Maryland, College Park

Post-Award Operations: PUI Focus

COST SHARING: DOS AND DON’TS

Experienced professionals will share Dos and Don’ts for cost sharing, with one of the panelists providing particular emphasis on the nuances of cost sharing compliance at small institutions with less-established post-award systems. Bring your thoughts, examples, and ideas for an interactive discussion.

Learning Objectives:
• Participants will understand the fundamentals of cost sharing requirements.
• Participants will understand best practices for cost sharing compliance.
• Participants will understand how to apply best post-award practices considering the systems available at a small institution.

Kris A. Monahan*, Director of Sponsored Research and Programs, Providence College
Joyce Ferland, Director, Sponsored Programs Accounting, Tufts University
CONCURRENT SESSIONS (CONTINUED)

A  Post-Award Operations: Research Intensive Focus
IMPLEMENTING SHARED SERVICES FOR RESEARCH ADMINISTRATION
In 2013, UC Berkeley implemented a campus-wide shared services solution to manage administrative costs and provide a reliable administrative infrastructure for all departments on campus. This session will describe the challenges and progress made to date in implementing Campus Shared Services Research Administration (CSS RA). Speakers representing Berkeley’s central pre- and post-award offices as well as CSS RA will describe how this new organizational structure was introduced and their perspectives on the impact it has had on campus service expectations, RA staff training/transitions, and pre- and post-award processes and effectiveness.

Learning Objectives:
• Participants will have a better understand how to expand the efficiency of your technology transfer operations.

Prerequisite: Participants in this session should have supervisory/management experience.

Pamela Miller*, Director, Sponsored Projects, University of California, Berkeley
Karen Wilson, Director, Campus Shared Services, Research Administration, University of California, Berkeley
Youssef Kubis, Director, Grants and Contracts Accounting, University of California, Berkeley

B  Post-Award Operations: Research Intensive Focus
NOVEL APPROACHES TO EVALUATING TECHNOLOGY TRANSFER OPERATIONS
One of the most important aims of technology transfer operations is to foster innovations arising from advances in research to the benefit of society. By contrast, the most frequently used performance indicators are generally limited to readily accessible figures such as royalty and licensing revenues. Novel and innovative indicators and methods are therefore needed for benchmarking technology transfer activities in a quantitative and qualitative way. The session will present an example of a benchmarking study, augmented with AUTM and European licensing surveys to understand best practices for technology transfer offices and discuss other approaches such as peer reviews in the context of evaluating technology transfer. Moreover, the workshop will introduce a novel approach to creating innovation scorecards to assist in managing the technology transfer business and provide lessons learned from using/implementing this innovation score card in assessing technology transfer at an academic medical center.

Learning Objectives:
• Participants will have a better understand how to expand the efficiency of your technology transfer operations.
• Participants will discuss benchmarking options and targeted operating models in technology transfer.

Keith Graff*, Director, Health Industries Advisory, PricewaterhouseCoopers, LLP
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

DISCUSSION GROUPS

Costing/F&A
STRATEGIES TO OPTIMIZE THE EQUIPMENT & BUILDING DEPRECIATION COMPONENTS OF THE F&A RATE
OMB Circular A-21 provides guidance on the identification and assignment of costs for buildings, capital improvements, and equipment. When buildings are constructed, costs can be segregated into individual building components and equipment classifications for purposes of assigning an appropriate useful life. OMB Circular A-21 offers no explicit guidance with respect to establishing useful lives. DCA written interpretations allow for a variety of standards including reference to institution experience when assigning these lives. Although not reduced to writing, other DCA interpretations and attitudes have emerged from their extensive negotiating experience. One attitude is the insistence on uniform useful lives for identical building components and equipment classifications. Data used in conjunction with proposal preparations produced by other University Departments (i.e. Facilities, Space) and the impact that this data and their interpretation have on the University indirect cost recoveries will be addressed. Additionally, this presentation will discuss how to properly establish consistent fixed asset accounting classes/useful lives and the allocation of the depreciation generated, because of the critical influence this exerts on the building and equipment depreciation components of the F&A rate calculations.

Darryl James*, Director, University of California, San Diego
Greg Sheahan, President, HCA Asset Management, LLC

Post-Award Operations
Follow-up to Concurrent Session: “I Am a Research Administrator: Now, How Do I Fix This Department?,” held at 1:00 pm
FOUR THINGS A RESEARCH ADMINISTRATOR CAN DO RIGHT NOW TO FIX THEIR DEPARTMENT
This discussion group will cover strategies that will assist the department administrator with the day-to-day administrative and financial processes. We’ll focus on short-term and long term objectives that will create a win-win for the department and help to improve the relationship with central administration. The participants will learn effective techniques that will help them better manage their research empire.

Tolise Miles*, Senior Grants & Contracts Specialist, Grants and Contracts Administration and Finance, Children’s National Medical Center
Anne Albinak, Senior Administrative Manager, Johns Hopkins University
4:00 – 5:00 pm
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

<table>
<thead>
<tr>
<th>SPARK SESSION</th>
</tr>
</thead>
<tbody>
<tr>
<td>4:00 – 4:20 pm</td>
</tr>
<tr>
<td>Ginger (Virginia) Baker*, Senior Director of Cost Studies and Property Services, California Institute of Technology</td>
</tr>
<tr>
<td>Adrienne M. Clifton, Director, MAXIMUS</td>
</tr>
</tbody>
</table>

5:00 pm  |  NCURA EDUCATION SCHOLARSHIP FUND HAPPY HOUR RECEPTION |

Sponsored by BAKER TILLY

After you’ve finished a day of learning at PRA, please stop by this fun happy hour and spend time relaxing with friends and colleagues.

6:00 pm  |  DINNER GROUPS |

Grow Your Peer Network and Enjoy a Great Dinner in Orlando!

The dinner groups are a great opportunity to meet your colleagues while enjoying Orlando. Sign up for a restaurant at the NCURA Registration Area, and then you will gather and leave with your group to enjoy an evening together.
6:15 am
NCURA FUN RUN
Maps will be provided for the participants for the walk/run that departs the hotel at 6:30 am and returns around 7:15 am so that there is plenty of time for participants to get ready before the day’s first session.

7:30 am – 3:45 pm
FRA CONCIERGE
PARTICIPANT MATERIALS PICK-UP
EXHIBITS OPEN
NCURA SOCIAL MEDIA LOUNGE
The NCURA Social Media Lounge offers a relaxed environment where attendees can unwind for a minute, while receiving the latest information about all NCURA professional and social platforms. Swing by the Lounge to recharge and meet peers who are a part of your professional and social network and build valuable relationships by collaborating and networking. #NCURAAppyHour #CollaborateNCURA

ASK NSF
The Ask NSF information booth is for awardees to come and ask questions or express any concerns they have regarding their grant(s) with the NSF. We will have informational handouts at the table that will address the Frequently Asked Questions and Critical Updates. The two accountants who will be representing NSF will be Dorothy Battle and Naomi Jackson, please come by to say hello!
Dorothy Battle, Accountant, DFM/GCMS, National Science Foundation
Naomi R. Jackson, Accountant, DFM/GCMS, National Science Foundation

8:15 – 9:45 am
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

Audit/Compliance: Departmental Focus
HOW WELL DO YOU KNOW YOUR CONFLICT OF INTEREST POLICIES AND PROCEDURES?
Those pesky Conflict of Interest problems seem to be poking up all over your campus. How well do you know your COI policies and procedures? Can you provide clear guidance to faculty and department staff when it becomes apparent that there is a conflict? This session will provide you with a clear understanding of the conflict of interest areas that may be part of your post-award administrator job and how to help resolve your faculty/staff conflicts.

Learning Objectives:
• Participants will have a better understanding of what conflict of interest is.
• Participants will gain knowledge of how to guide your faculty/staff in resolving their conflicts.
• Participants will review current federal policies to determine if your faculty are complying.

Dennis Paffrath*, Assistant Vice President for Sponsored Programs Administration, University of Maryland, Baltimore
8:15 – 9:45 am
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

CONCURRENT SESSIONS (CONTINUED)

0 Audit/Compliance: PUI Focus
WHAT TO EXPECT WHEN THE AUDITORS COME
What happens during an audit? What should we do during the project period to prepare for an audit? What should we do when notified that a project will be audited? What should we do if an adverse finding is identified? We will answer these and many more questions in this session, all from the PUI perspective.

Learning Objectives:
• Participants will learn steps to take to prepare for an audit.
• Participants will learn audit do’s and don’ts.
• Participants will learn how to respond to findings via the management response.

W. Scott Erwin, Sr.*, Director, Office of Sponsored Programs, Texas State University

A Audit/Compliance: Research Intensive Focus
MANAGING LARGE AUDITS – A TEAM APPROACH
While a call from the auditors can happen to us at any time, sometimes those calls can be a request for a large-scale audit. What do you do when the audit scope is big and the timeline is tight? Learn how to approach the situation with a project team focused on ensuring that the audit process runs smoothly with positive outcomes. Learn how to plan your responses to their requests, how to prepare for their site visit, how to reply to their recommendations, and how the audit resolution process works. Share your ideas with the hope that our experiences can help when you get the call.

Learning Objectives:
• Participants will develop a working knowledge of audit processes and management.
• Participants will learn how to build an effective project team and project plan.

Prerequisite: Participants should have experience working with auditors and a working knowledge of Federal and institutional policies on grant management.

Robert Andresen*, Director of Research Financial Services, Associate Director, Research and Sponsored Programs, University of Wisconsin-Madison
Jennifer Rodis, Policy and Planning Analyst, University of Wisconsin-Madison

B Costing/F&A: Research Intensive Focus
F&A PROPOSAL BASICS
The focus of this session will be a high level overview of what resources are needed, what information is needed and the process associated with building an F&A Proposal.

Learning Objectives:
• Presenters will prepare participants that are new to F&A on the process and preparation needed in preparing an F&A Proposal.
• Participants will learn basic knowledge of the F&A proposal process.

Adrienne Clifton*, Director, MAXIMUS
Britt Krhovjak, Assistant Director for Research Accounting, University of North Texas
Costing/F&A: Research Intensive Focus

COST ANALYSIS FOR ANIMAL CARE FACILITIES

Performing a cost analysis for an animal care facility is inherently a complex task. There are added complexities because of competing costing guidance in OMB Uniform Guidance (2 CFR 200) and the NIH Cost Analysis and Rate Setting Manual. Data for animal facility usage is recorded typically with an eye towards regulatory compliance and not always focused on the rate setting process. These are obstacles that are easy to overcome with the right costing knowledge and a solid cost analysis strategy.

Learning Objectives:
• Participants will learn strategies for costing animal care facilities.
• Participants will strengthen their understanding of costing requirements from OMB Uniform Guidance.
• Participants will learn how to apply concepts from the NIH Cost Analysis and Rate Setting Manual to scenarios they may encounter at their institution.

Prerequisite: Participant should have a working knowledge of costing standards in the OMB Uniform Guidance (2 CFR 200) and awareness of the NIH Cost Analysis and Rate Setting Manual is a plus.

Martin Smith*, Manager, Higher Education and Academic Medical Centers, Attain, LLC
Marie Baka, Grants Accounting Manager, Northeast Ohio Medical University

CROWD FUNDING: WHEN SHOULD THE SPONSORED PROJECTS OFFICE CARE?

While many institutions have determined that crowd funding should be treated as a donation, sponsored projects offices keep getting pulled back into the fray. With decreasing funding rates and greater competition for Federal funding, principal investigators are eager to explore crowd funding as an alternative funding venue with seemingly fewer strings attached. Sites such as Kickstarter, Experiment.com, and Benefunder are just a few of the names that may have popped up on your radar. Will/does your institution allow the initial fees for setup of the websites to be charged to sponsored projects? Is your institution entering into exclusive agreements with one crowd funding site or perhaps creating your own crowd funding site? Are you allowing faculty to sign these agreements without institutional involvement? The list of questions that will be explored are numerous.

Learning Objectives:
• Participants will explore good practices in managing crowd funding.
• Participants will identify policies and procedures that should be in place for accepting and managing these funds.
• Participants will consider the "village" of units at your institution who must be involved in an effective crowd funding program.

Prerequisite: Participants should have a desire to share experiences and learn more.

Susan Sedwick*, Consultant, Attain, LLC
Courtney Frazier Swaney, Associate Director, Office of Sponsored Projects, University of Texas at Austin
CRUCIAL CONVERSATIONS IN RESEARCH ADMINISTRATION

As a research administrator, we are immersed in an environment in which there are competing and complex priorities, stakes are very high and emotions often run strong. When faced with the challenge of meeting multiple deadlines in support of often difficult personalities with varied opinions, while putting in long work hours, it is not uncommon for the research administrator to arrive at or even stumble into a crucial conversation. Unfortunately, by nature most of us are very bad at handling these situations. In fact, the more crucial the conversation, the less likely we are to handle it well. The good news is that in over two decades of research involving more than 100,000 individuals, experts have identified and validated methods for effectively navigating these difficult and yet essential conversations. This session will provide a summary of these research findings and examine the tools discovered to allow us to effectively manage the crucial conversations; skills that could potentially influence every domain of our lives. We will review real-world examples of these crucial conversations in our personal and professional lives and discuss the ways in which they occur in research administration and how we can effectively navigate through them.

Learning Objectives:
• Participants will learn the importance of understanding more than just the facts.
• Participants will learn how to use critical thinking, analysis and customer service in creative problem solving techniques.

Lisa Mosley*, Executive Director, Research Operations, Arizona State University
Jeremy Forsberg, Assistant Vice President of Research, The University of Texas at Arlington
David Ngo, Assistant Vice President, Sponsored Programs Administration, Office of Sponsored Programs, University of Texas Southwestern Medical Center at Dallas

Medical/Clinical: Departmental Focus

CRUCIAL CONVERSATIONS IN RESEARCH ADMINISTRATION

As a research administrator, we are immersed in an environment in which there are competing and complex priorities, stakes are very high and emotions often run strong. When faced with the challenge of meeting multiple deadlines in support of often difficult personalities with varied opinions, while putting in long work hours, it is not uncommon for the research administrator to arrive at or even stumble into a crucial conversation. Unfortunately, by nature most of us are very bad at handling these situations. In fact, the more crucial the conversation, the less likely we are to handle it well. The good news is that in over two decades of research involving more than 100,000 individuals, experts have identified and validated methods for effectively navigating these difficult and yet essential conversations. This session will provide a summary of these research findings and examine the tools discovered to allow us to effectively manage the crucial conversations; skills that could potentially influence every domain of our lives. We will review real-world examples of these crucial conversations in our personal and professional lives and discuss the ways in which they occur in research administration and how we can effectively navigate through them.

Learning Objectives:
• Participants will learn the importance of understanding more than just the facts.
• Participants will learn how to use critical thinking, analysis and customer service in creative problem solving techniques.

Michelle Grana*, Administrative Director, Buehler Center for Aging, Health & Society, Northwestern University

Prerequisite: This session can be useful to any level of research administrator or department/unit administrator.
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

CONCURRENT SESSIONS (CONTINUED)

**B** Post-Award and Operations:  
Departmental Focus

**CAN I CHARGE THAT TO A GRANT?**

How do we determine if an expense on a sponsored project is allowable or unallowable? Is "we put it in the proposal budget" enough justification for the expense? This session will offer an overview of the cost principles as defined by OMB providing the basis for direct charging to sponsored projects. The panelists will discuss those costs normally considered unallowable and what justifications should be provided to support their inclusion as a direct cost.

**Learning Objectives:**
- Participants will learn tips for determining cost allowability.
- Participants will gain an understanding of why tying the expense to the scope of work is essential.
- Participants will learn how to classify expenses, direct vs. indirect, based on their usage.
- Participants will learn how developing good habits will help prepare for an audit when questionable expenses have been charged to your projects.

Glenda Bullock*, Manager of Business Operations, Washington University in St. Louis

---

**B** Post-Award and Operations:  
Research Intensive Focus

**MERGING AND COLLABORATING FOR SUCCESS: THE KEY TO EFFECTIVE INTEGRATING OF THE PRE AND POST FUNCTIONS IN RESEARCH ADMINISTRATION**

The session will address the ongoing issues between the pre-award and post-award administration and examine the role of the department administrator. Presenters will give an overview of the financial and non-financial processes and suggest ways to improve the workflow between central administration and the department. One important thing to remember as a research administrator is that all of us have a common goal: to serve our PIs and help them to achieve their research goals while ensuring that we’re complying with Uniform Guidance, sponsor specific guidelines and institutional policies.

Oftentimes, campus research offices split pre and post-award functions. The reason behind this is to have experts in both functions--administrators who review proposals and negotiate agreements become very strong in these areas over time. Likewise, preparing financial reports and handling everyday compliance questions become second nature to post-award administrators. While pre and post-award duties intertwine, there is frequent lack of communication, which arises from a misunderstanding of the other function. In this session, attendees will walk away with an understanding of the importance of reaching out to learn more about the other "side of the house" as a way to meet campus goals.

**Learning Objectives:**
- Participants will identify challenges that can occur between the pre and post-award functions and strategies for overcoming these challenges to enhance our customer service. Learn effective techniques that the pre-award and post-award offices can use when engaging department administrators during the proposal process.
- Participants will explore entire grant process and the communication breakdown between central offices and department. Describe tools for managing workloads, perceived separation of tasks and common goals. Once individuals step outside the "it’s not my job" mentality, accomplishments are aplenty.

Tolise Miles*, Senior Grants & Contracts Specialist, Grants and Contracts Administration and Finance, Children’s National Medical Center  
Rosemary Madnick, Executive Director, Office of Grants and Contracts Administration, University of Alaska Fairbanks
Post-Award and Operations: Research Intensive Focus

BILLING, RECEIVABLES AND BAD DEBT
This session will give post-award personnel and departmental research administrators and overview of key day-to-day financial processes which are critical to the successful management of their accounts receivables on sponsored programs to minimize deficits and bad debts. These core financial processes are important to the overall success of sponsored programs including best practices for invoicing, cash management, invoice follow-up procedures and managing bad debts. In addition, the session will illustrate the necessity for a strong receivable aging process for collections and more.

Learning Objectives: Participants will gain a better insight on key day-to-day financial processes for sponsored programs related to the management and oversight of their accounts receivables and how the post-award and departmental groups must work together to achieve success in this area.

Tanya Paul*, Senior Manager, Office of Contract & Grant Accounting, Vanderbilt University
Zach Belton, Senior Director, Huron Consulting Group

Discussion Groups

Costing/F&A
UNIFORM GUIDANCE - DISCUSSION ON HOW THE NEW RULES & MOST RECENT FEDERAL FAQ’S AFFECT HOW MY INDIRECT COST PROPOSAL WILL BE PREPARED
The purpose of this session is to address the Uniform Guidance and the impact on institutions F&A rate proposals. When will the Uniform Guidance impact the calculation of F&A rates? How do I address the Utility Cost Adjustment in my F&A rate proposal? How do I make the calculation and what do I need to provide to CAS? What do I need to do to assure I get as much of the 1.3 as possible? These and other issues will be discussed in detail.

Wallace Davis*, Partner, Higher Education and Nonprofits, Attain, LLC
8:15 – 9:45 am
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

DISCUSSION GROUPS (CONTINUED)

Human Capital
“How May I Serve You?” Changing the Focus from Service to Profession
We, Research Administrators, pride ourselves in being professionals. We gather to improve ourselves, expand our knowledge base and to promote our profession. Often times, we focus on the service component of our profession with job descriptions seeking "service-oriented," "customer-focused," "client-driven" staff that also happens to know how to deal with the complexities of our industry. This session seeks to continue a dialogue with Senior Research Administrators on addressing the merits of bringing the professional expertise and the dedication to the field of research administration to the forefront. While no one wants a team of people unwilling to be helpful, it is our knowledge, experience, and professional skills that our institutions rely upon. Emphasis on professionalism rather than "servicing" might strengthen our position within the institutional hierarchy and consequently enhance our ability to perform at the highest level of excellence with a greater professional satisfaction.

Human Capital
Career Moves: Changing Roles in Research Administration
Moving from a large research-intensive institution to a predominantly undergraduate institution (or vice versa) OR moving from central administration to a department/college can be a huge culture shock for a research administrator. In this discussion group we will talk about what to expect when moving from one type of institution to another (or one area on campus to another), what to consider, and why/when one might consider such a move.

Pam Whitlock*, Director, Office of Sponsored Programs, University of North Carolina at Wilmington (Emeritus)
Sheila Batelman, Senior Grant Administrator, Suffolk University
Patricia McNulty, Principal Consultant, Concurrent Research

Jamie Young, Director of Sponsored Project Administration, Duke's Clinical Research Institute

SPARK SESSIONS

8:15 – 8:35 am
Maximizing the Facilities Component of Your F&A Rate

Anne Feuerborn*, Senior Manager, MAXIMUS Higher Education Practice
8:15 – 9:45 am
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

SPARK SESSIONS (CONTINUED)

8:45 – 9:05 am
MONITORING PURCHASING CARDS
Ann Holmes*, Assistant Dean, Administration and Finance, College of Behavioral and Social Sciences, University of Maryland, College Park

9:15 – 9:35 am
MANAGING YOUR DEPARTMENT MATCH: COST SHARING FROM PROPOSAL THROUGH CLOSEOUT
Pascha Gerni*, Associate Finance Director, Virginia Tech

10:15 – 11:30 am
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

Audit/Compliance: Departmental Focus
APPLICATIONS OF LEAN AND SIX SIGMA PRINCIPLES TO POST-AWARD MANAGEMENT OF SPONSORED PROJECTS
Lean and Six Sigma Principles are strategies to improve efficiency and quality and are often thought of as applied to the manufacturing world. However, in an age of increasing compliance with the post-award management of sponsored projects, we should learn to apply these principles to improve financial processes, decrease errors, and improve quality of work. If these principles are becoming more and more prevalent in their application to healthcare, it would follow that they be applied to the financial arm of medical research, to promote greater effectiveness and efficiency in compliance, reconciliation and monitoring of awards.

Learning Objectives:
• Participants will be provided with an introduction and overview of Lean and Six Sigma Principles.
• Participants will hear a brief overview of NIH Roadmap for Clinical Research.
• Participants will hear an overview of clinical translational research and developing relationships and teams of basic science administrators, clinic managers, clinical research administrators, and sponsored research/finance.
• Participants will discuss a case study on applying principles to clinical and translational research (protocol development, enrollment).
• Participants will learn to extrapolate and apply principles to financial management of sponsored awards and discuss areas of focus, including cost-transfers management, subrecipient monitoring and monthly reconciliation.
• Participants will discuss process assessment leading to improvement strategies.

Prerequisite: Participants are recommended to have a working knowledge of pre- and post-award grant management (federal, non-profit and clinical trials) and a basic understanding of translational science.

Jennifer Foley*, Finance and Strategic Planning Manager, Institute for Health and Society, Medical College of Wisconsin
10:15 – 11:30 am

CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

CONCURRENT SESSIONS (CONTINUED)

B  Audit/Compliance: Departmental Focus

UNDERSTANDING THE UNIFORM GUIDANCE FROM THE DEPARTMENTAL PERSPECTIVE

The Uniform Guidance has brought about many changes to the administration of federal research awards. All of the discussion has left many of us wondering what it really means to those of us at the department level. What practices must change, and how does the new guidance affect the way we develop and manage budgets? More importantly, what do we have to communicate to our Principal Investigators? This session will outline the changes that have direct impact on research administrators and principal investigators and offer suggestions for how to manage these changes.

Learning Objectives:
• Participants will become more familiar with the Uniform Guidance.
• Participants will understand which of the clauses have an impact on budget development and administrative practices.
• Participants will be given guidance and suggestions of best practices for implementing changes in their own units.

Rebecca Hunsaker*, Assistant Director of Research Administration, University of Maryland, College Park
Ann Holmes, Assistant Dean, Administration and Finance, College of Behavioral and Social Sciences, University of Maryland, College Park

Audit/Compliance: PUI Focus

CHALLENGES OF DOCUMENTING EXPENDITURES AT A PUI

One of the challenges of sponsored programs at a PUI remains the adequate documentation of expenditures. Spending must be adequately documented to show what spending occurred, whether it was reasonable and whether it was approved. The premise of this session will be to examine the purpose of documentation requirements to verify that the grant funds have been spent in accordance with the purpose of the grant as specified in the grant agreement. Examples and best practices will be discussed.

Learning Objectives:
• Participants will develop an awareness of documentation requirements.
• Participants will recognize industry standards related to documentation of types of expenditures.
• Participants will identify process improvement and standards.

Susan Hurley*, Assistant Controller, Sam Houston State University
W. Scott Erwin, Sr., Director, Office of Sponsored Programs, Texas State University
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

CONCURRENT SESSIONS (CONTINUED)

I Costing/F&A: Research Intensive Focus
CONVERTING FROM SHORT FORM TO LONG FORM (F&A), WHEN DOES IT MAKE SENSE?
The session will provide considerations to determine the future benefits (costs versus potential recovery) of developing indirect costs (F&A) under the "Long Form" versus the "Short Form" methodology." Specific case study including Long Form Diagnostic prepared with Sam Houston State University will be discussed, and the University perspective will be provided.

Learning Objectives: Participants will gain an understanding of the items to consider, the steps to be taken and the appropriate timeframe to convert from Short Form to Long Form (F&A).

Prerequisite: Participants should have a basic knowledge of the indirect costs (F&A) methodology along with a general understanding of how it is applied at your institution. Detailed understanding of the mechanics of the "Long Form" are not required and will be explained in the session.

Mira Levine*, Manager, MAXIMUS Higher Education Practice
Jacqui Wukich, Associate Controller, Sam Houston State University

B Costing/F&A: Research Intensive Focus
FRINGE BENEFITS – UNIFORM GUIDANCE IMPACT, REVENUE MAXIMIZATION, BUDGETING AND ACCOUNTING EFFICIENCIES
The OMB Uniform Guidance will be implemented on December 26, 2014. There appears to be relatively little impact in the area of fringe benefit costs, but there are changes that may make some universities current charging practices out of compliance with the new regulations. This change in regulations may also provide universities with the chance to revisit their method of recovering fringe benefit costs and determine if there are opportunities to recover additional costs from external funding sources, as well as increase efficiencies in budgeting and accounting while reducing administrative burdens. This session will discuss the issues in the Guidance on fringe benefit cost recovery. In addition, the presentation will provide the pros and cons of the various fringe benefit recovery methods along with areas to potentially improve your current methodology of recovering those costs! This presentation will include experiences from a University that is switching from direct charging of fringe benefits to fringe benefit rates.

Learning Objectives:
• Participants will gain an understanding of the major issues with the Uniform Guidance related to fringe benefits.
• Participants will learn the ins and outs of various charging practices and ways to improve them at their university.

Deston Halverson*, Senior Manager, Higher Education and Academic Medical Center, Attain, LLC
10:15 – 11:30 am
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

CONCURRENT SESSIONS (CONTINUED)

**Human Capital**

**UNLOCKING A QUALITY MANAGEMENT SYSTEM’S (QMS) POTENTIAL – ELIMINATE INEFFICIENCY, REDUCE COSTS AND ACHIEVE OPERATIONAL EXCELLENCE**

A Quality Management System (QMS) monitoring sponsored projects pinpoints areas where there is an opportunity to improve processes and reduce inefficiencies. To unlock a QMS’s potential, a self-monitoring system identifying when processes reach predefined control limits needs to be established to alert staff to internal and external circumstances that impact operational performance. Administering the defined escalation is imperative to maintaining the system.

**Learning Objectives:**
- Participants will learn how to explain the key components of an effective QMS.
- Participants will learn helpful tools that can be used to self-monitor.
- Participants will hear the importance of defining control limits and administering the agreed upon escalation process.

**Prerequisite:** Familiarity with Quality Management concepts such as: Quality Management System components, Six-Sigma models, project management methodologies, or customer satisfaction tools is required to attend this session.

**Michelle Wood-Jensen**, Manager, Finance & Accounting Services, Mayo Clinic

**Nicole Lies**, Finance Analyst III, Mayo Clinic

---

**Post-Award and Operations: Departmental Focus**

**IT’S ABOUT THE PEOPLE: HR ISSUES IN DEPARTMENTAL MANAGEMENT**

Grants management is not always about the money: there are personnel issues to consider as well. From employment contracts to visa requirements, your institution’s policies, federal guidelines and the project’s terms and conditions are intricately entwined. This session will explore how to anticipate and manage HR challenges from proposal submission through closeout.

**Learning Objectives:** Participants will come away with strategies to anticipate and manage HR issues.

**Prerequisite:** Participants should be in an HR position.

**Jennifer Lawrence**, Manager, Business and Finance, University of Arizona
### Post-Award and Operations: Departmental Focus

**COMMUNICATING WITH COLLEAGUES AND FACULTY**

This presentation will focus on two main areas: general communication strategies such as action-focused content, targeting your audience, and e-mail considerations; and, the use of tools such as shared spreadsheets for department staff reference and coversheets to highlight important information for faculty.

Since we are dealing with such a nuanced and high-stakes field, small problems with communication can have serious consequences. Therefore it is important to continuously reflect on how we can improve our communication, such as e-mails and phone calls, by making sure that each message is optimized. Furthermore, we can reduce the volume of these messages by maintaining tools and reference materials that consolidate information and increase access to it.

#### Learning Objectives:
- Participants will gain an understanding of what good communication looks like.
- Participants will be able to anticipate and minimize consequences of communication breakdowns.
- Participants will learn to tailor communications to faculty members.
- Participants will use tools provided by your facilitators to communicate information more effectively.

**Deborah Cundiff**, *Business Administrator, Northwestern University*

**Susan Held**, *Senior Research Administrator,*
**Northwestern University**

---

### Post-Award and Operations: International Focus

**FINANCIAL RISK ASSESSMENT OF INTERNATIONAL AGREEMENTS**

Universities and institutions worldwide are reaching across the globe to compete for project funding and sponsorship, while at the same time the nature of research is becoming more collaborative and interdisciplinary. These factors are translating to a higher number of research opportunities made possible through cooperation and collaboration with international partners. Research administrators must confront a variety of financial, administrative, legal and compliance challenges when negotiating and administering projects with international sponsors and/or international research collaborators. This session will focus on identifying and mitigating risk in international collaborations.

#### Learning Objectives:
- Participants will outline a risk-mitigating approach to managing international research projects.
- Participants will learn practical approaches and solutions to resolving typical issues in international projects.
- Participants will be encouraged to create a dialogue regarding "best practice" in financial, administration, legal and compliance matters surrounding international collaborations.

**Jennifer Donais**, *Director, Research Compliance,*
**University of Massachusetts Amherst**

---

**Guiding FRA from Theory to Practice**  
67
10:15 – 11:30 am
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSIONS

CONCURRENT SESSIONS (CONTINUED)

A Post-Award and Operations: Research Intensive Focus

EFFORT REPORTING AND OMB’S UNIFORM GUIDANCE
Effort Reporting was the common approach used by many colleges and universities to fulfill the OMB A-21, Section J.10 requirement. The new Uniform Guidance supersedes 8 circulars, including A-21. This session will provide a closer review of the new regulation, Subpart 200.430, that governs the compensation for personal services. Effort Reporting is not the required approach to fulfill this regulation. However, many universities have chosen to continue to use the existing practice with or without modification. We will compare the key topics and differences between Subpart 200.430 and A-21, Section J.10. New or highlighted terms such as Institutional Base Salary, Internal Controls, and “written” policies or definitions will be discussed. We will also discuss the different practices utilized by universities to fulfill this requirement.

Learning Objectives: Participants will acquire a further understanding of the following:

- Uniform Guidance, Subpart 200.430.
- New regulation pertaining to the Effort Reporting practice.
- Comparison between Subpart 200.430 and A-21, Section J.10.
- Different practices used by universities to fulfill the requirement.

Prerequisite: Participants should have an advanced understanding of effort reporting principles and operations.

Jennifer W. Mitchell*, Director of Cost Studies and Effort Reporting, Northwestern University
Sarah T. Axelrod, Director of Cost Analysis and Compliance, Harvard University

Learning Objectives:
- Participants will have a better understanding of an overview of Unmanned Aircraft Systems (UAS) and how it impacts research administration at their institution.
- Participants will learn best practices on how to implement policies and procedures regarding use of UAS’s.
- Participants will learn to create a network of individuals involved in UAS processes across the nation.

Prerequisite: Participants should have familiarity with drones.

Dan Nordquist*, Assistant Vice President/Director, Office of Grant and Research Development, Washington State University
Rosemary Madnick, Executive Director, Office of Grants and Contracts Administration, University of Alaska Fairbanks
Audit/Compliance
WHAT YOU CAN AND CANNOT SAY TO AUDITORS
There are opinions about what you should or should not say to auditors; however, the better practice is knowing what you can and cannot say to auditors. Communicating with auditors is critical to the success of an audit as much as the quality of your supporting documentation. Communicating how and why transactions happened can turn a potentially unfavorable audit into a win for your institution. This session will provide several examples of how what was said impacted the success or failure of the audit. The presenters will provide examples of how and what to say, how to identify traps that auditors may lead you to, and how to avoid those pitfalls.

Adrienne Larmett*, Senior Consultant, Baker Tilly
Jennifer L. Rosa, Administrative Director of Research, CCCR, Children's Hospital of Philadelphia

Medical/Clinical
THE CHALLENGES OF CLINICAL TRIALS – WE WANT TO HEAR THOSE AND...YOUR SOLUTIONS
With the increased complexity of clinical trials, increased scrutiny placed on the financial management of both federally and industry sponsored trials, and the bottom line impact on the institutions, the management of clinical trials has become difficult for all administrators on campus. This discussion group will encourage discussion of your challenges, successes, and solutions with all of you daily clinical trial issues. Bring your knowledge, challenges, and solutions for a lively discussion with your colleagues.

F. John Case*, Senior Vice President for Operations and Chief Financial Officer, Morehouse School of Medicine

SPARK SESSIONS

10:15 – 10:35 am
SUBRECIPIENT MONITORING
Jeremy Forsberg*, Assistant Vice President of Research, The University of Texas at Arlington

10:45 – 11:05 am
PREPARING FOR A PERFECT CLOSEOUT
Urmila Bajaj*, Associate Director, Post Award Administration, California Institute of Technology

11:15 – 11:30 am
THE LEADME PROGRAM: REGIONS VI & VII’S ANSWER TO LEADERSHIP AND PROFESSIONAL DEVELOPMENT
Derick F. Jones*, Program Manager, Pediatrics Division of Genetic Outcomes, The Institute for Translational Genomics and Population Sciences
CONCURRENT SESSIONS

B  Audit/Compliance: Research Intensive Focus
CLOSE-OUT: WHAT THE UNIFORM GUIDANCE MEANS
As a result of the new Uniform Guidance (UG), there are many changes and challenges in the administration of Federal sponsored awards. This session will look specifically at the Post-Award and Closeout areas and explore the impact on changes to allowable costs; financial reporting and administration of federal awards may have on your institution? In addition, we will explore practices and policies may require your institutions attention including those relating to charging of Administrative and Clerical Salaries, Sub-Recipient Monitoring, Computing Devices, Financial Reporting, Internal Controls and Cost Sharing.

Learning Objectives:
• Participants will become more familiar with the Uniform Guidance and its impact on post award and closeouts.
• Participants will learn areas that may require changes in internal controls as a result of the new guidelines.
• Participants will have an understanding of some post-award administration best practices for monitoring federal awards and ensuring compliance with reporting requirements.

Kim Garrison*, Director of Post-Award, University of Pennsylvania
James Clavin, Associate Director of Post Award, University of Pennsylvania

I  Costing/F&A: Departmental Focus
DEVELOPING BUDGETS: A DEPARTMENT FOCUS
Developing a clear and reasonable budget is one of the most important pieces of the proposal process. The regulations state that 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 will enhance the chances of being funded by the sponsor, and understanding how to assist PIs in building a reasonable budget is essential to our roles as research administrators.

Learning Objectives: Using the Uniform Guidance as the basis for discussion, this session will explore the foundations of budget building, including allowability, allocability, and reasonableness; administrative and clerical salary issues; determination of subrecipient status; and many more issues surrounding budgeting. We will use an in-depth case analysis to provide a real-world framework for the discussion.

Rebecca Hunsaker*, Assistant Director of Research Administration, University of Maryland, College Park
Gaye Blegenagen, Director of Administrative Services, University of Maryland, College Park

O  Costing/F&A: PUI Focus
CHANGES IN DIRECT VS INDIRECT COSTING AND OTHER NEW GUIDELINES THAT EFFECT F&A COSTING
Under the new Uniform Guidance some expenses that were previously classified as indirect are now allowable as direct. Learn what these expenses are and how to include them in your budgets. Also learn about other changes in the guidelines that will effect your F&A rate.

Learning Objectives:
• Participants will learn which expenses are allowable as direct charges to grant and which are considered to be indirect charges.
• Participants will learn which expenses changed as a result of the new guidelines.
• Participants will learn about other changes in the new guidelines that will affect your F&A rate.

Gail Davis*, Director, Contract & Grants, Lamar University
W. Scott Erwin, Sr., Director, Office of Sponsored Programs, Texas State University
1:00 – 2:15 pm
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSION

CONCURRENT SESSIONS (CONTINUED)

1. Costing/F&A: Research Intensive Focus
COSTING OLYMPICS - INTERACTIVE SESSION INVOLVING DIFFERENT COSTING SITUATIONS & SOLUTIONS
This session will include real examples of cost accounting situations seen by the panelists. Possible solutions will be identified and discussed, and the best solution will be presented along with the reasons why that solution is the best choice.

Learning Objectives: The objective of this session is to expose participants to some cost accounting situations that they may experience during their career and to demonstrate how to analyze the situation and how to determine the best solution for the particular situation.

Prerequisite: Participants should have a basic understanding of applicable federal guidance and regulations and how they can impact the treatment of costs.

Ginger (Virginia) Baker*, Senior Director of Cost Studies and Property Services, California Institute of Technology
Sarah T. Axelrod, Director of Cost Analysis and Compliance, Harvard University
Shelly Benson, Interim Director, Grants and Contracts, Office of Government Costing, University of Illinois at Urbana-Champaign
Paula Milano, Executive Director, Space & Capital Programs, University of California, Berkeley
Michael Legrand, Director, Costing Policy & Analysis, Accounting & Financial Services, University of California, Davis

0. Human Capital
COACHING THE RESEARCH ADMINISTRATOR’S CAREER
Your professional career has to be managed on a daily basis. How do you manage the current challenges of working in your office, your institution? What do you need to think about daily in managing your career, your next job, and your next school? What is your professional brand? Is it important in your career? Are relationships important, and how do you develop them? What do you need to do if you are downsized or your job is eliminated? It is a big topic, but you face questions, challenges, and decisions about your career every day. This session will concentrate on these topics and many others that you need to think about as a new research administrator or a seasoned veteran. Think of it as a coaching session to help you succeed in your career, present and in the future.

Learning Objectives:
• Participants will learn how to deal with the daily challenges in research administrators’ careers.
• Participants will be coached on their professional brand and their next step in their career.
• Participants will be able to identify potential roadblocks, difficult situations, and tough career decisions.

F. John Case*, Senior Vice President for Operations and Chief Financial Officer, Morehouse School of Medicine
Human Capital

NCURA MEMBERSHIP PROGRAMS: AN OVERVIEW

Come learn how to maximize your NCURA experience by volunteering, connecting and sharing in Collaborate, and getting involved in other member programs. We will highlight several ways to get the most out of your NCURA membership.

Post-Award and Operations:

Departmental Focus

JUGGLING ALL ASPECTS OF SPONSORED ADMINISTRATION: A DEPARTMENT ADMINISTRATOR’S PERSPECTIVE

This interactive session will cover topics related to the daily management of awards within the department. We will discuss best practices for managing grants and contracts from the notice of award through closeout. Topics will include re-budgeting issues, cost share, cost transfers, procurement cards, audits and overall financial compliance.

Learning Objectives:

• Participants will learn how to use social media to connect with your professional peers.
• Participants will learn about NCURA Membership benefits.

Stephanie Moore*, Community Curator, National Council of University Research Administrators

Emily Ainsworth, Coordinator of Member Services, National Council of University Research Administrators

Post-Award and Operations:

Departmental Focus

CRITICAL POINTS OF THE POST-AWARD PROCESS: SETTING THE STAGE TO BE A SUCCESSFUL DEPARTMENTAL RESEARCH ADMINISTRATOR

Departmental Research Administrators are responsible for the day-to-day oversight and management of the administrative aspects of sponsored program activities within institutional units/departments. At a minimum, the responsibilities of a departmental administrator include: assisting departmental investigators with proposal preparation, serving as a liaison between the principal investigator and the central research office, and monitoring all administrative tasks specific to a sponsored project. The incumbent is also responsible for possessing a familiarity with institutional, state, and federal regulations specific to grant/contract management.

Learning Objectives:

• Participants will learn tips on how to communicate frequently with principal investigators to keep them apprised of the project’s financial position at regular intervals of time and assist them in the administration of awards.
• Participants will gain an increased knowledge of post-award tasks to ensure effective management of awards.
• Participants will be provided with an overview of account reconciliation to ensure their institutions’ financial system accurately reflects the amount authorized by the sponsoring entity.
• Participants will have increased knowledge of project expenditures which includes accurate and full recovery of project-specific overhead charges; on-time revenue recognition; and monitoring costs to ensure allowability, allocability, reasonableness, and consistency.

(continued on next page)
1:00 – 2:15 pm
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSION

CONCURRENT SESSIONS (CONTINUED)

A Post-Award and Operations: Research Intensive Focus
MAXIMIZING EFFICIENCY IN POST-AWARD: YES, YOU CAN STANDARDIZE WORK
How do administrators handle the increasing burden of post-award administration in today's constricting financial climate? The obvious answer is to consider improving current processes. Come hear about employing Lean techniques & other simple strategies to assist in how standardizing work processes within your own operation can streamline how you do business.

Prerequisite: To follow specific examples, participants should have a general understanding of the post-award life cycle and be familiar with reconciliation and reporting.

Emily Hamilton*, Research Director, University of Michigan
Glenda A. Bullock, Manager of Business Operations, Washington University in St. Louis

Learning Objectives:
• Participants will discover how process mapping can bring to light new areas for improvement.
• Participants will learn what is required to successfully manage change.

B Post-Award and Operations: Research Intensive Focus
CURRENT TRENDS IN POST-AWARD RESEARCH ADMINISTRATION
Peer Reviewers from NCURA’s Peer Review Program will discuss some of the common trends they are seeing in post-award research administration. They will discuss some of the recommendations that have been made in these areas and will also highlight some of the best practices they have identified. Topics will include, but are not limited to, organizational structure, training and education, strategies for working with researchers, improving business process efficiency, and managing change (including the implementation of Uniform Guidance).

Prerequisite: Participants should have a basic knowledge of research administration post-award processes.

Patricia Hawk*, Director, Sponsored Programs, Oregon State University
Peggy S. Lowry, Program Director, NCURA Peer Programs, National Council of University Research Administrators

Learning Objectives:
• Participants will have an understanding of the current issues that NCURA Peer Reviewers are seeing in the area of post-award research administration.
• Participants will have an understanding of some of the options available to address today’s common post-award issues.
• Participants will have an understanding of some post-award administration best practices.

Erin Bailey*, Associate Director, School of Social Work, University at Buffalo
Timothy Schailey, Director, Sponsored Programs, Christiana Care Health System
Jorge Vazquez, Associate, Huron Consulting Group

C Post-Award and Operations: Departmental Focus
CRITICAL POINTS OF THE POST-AWARD PROCESS: SETTING THE STAGE TO BE A SUCCESSFUL DEPARTMENTAL RESEARCH ADMINISTRATOR (CONTINUED)
Facilitation of the aforementioned efforts begin at the proposal stage and continues until the close out of the award. This workshop is focused on the key aspects of post-award activities which are critical to ensure the success of a departmental administrator.

Prerequisite: Participants should have a basic knowledge of research administration post-award processes.

Erin Bailey*, Associate Director, School of Social Work, University at Buffalo
Timothy Schailey, Director, Sponsored Programs, Christiana Care Health System
Jorge Vazquez, Associate, Huron Consulting Group

Learning Objectives:
• Participants will have an understanding of the current issues that NCURA Peer Reviewers are seeing in the area of post-award research administration.
• Participants will have an understanding of some of the options available to address today’s common post-award issues.
• Participants will have an understanding of some post-award administration best practices.

Patricia Hawk*, Director, Sponsored Programs, Oregon State University
Peggy S. Lowry, Program Director, NCURA Peer Programs, National Council of University Research Administrators
1:00 – 2:15 pm
CONCURRENT SESSIONS, DISCUSSION GROUPS AND SPARK SESSION

DISCUSSION GROUPS

Audit/Compliance
ESSENTIAL POST-AWARD POLICIES
This discussion group will focus on the identification of key post-award policies and "best practices" that can help institutions ensure compliance with federal regulations, sponsor requirements and institutional requirements. Participants will be asked to share their experiences related to policy development and we will discuss proactive measures institutions can take to facilitate the formulation, deployment and communication of policies.

Patrick Fitzgerald*, Associate Dean for Research Administration, Harvard University
Jessica Manning, Associate Director of Finance, Harvard University

Human Capital
HOW TO SAY NO: DELIVERING THE “BAD NEWS”
With renewed emphasis on internal controls, more costing decisions will settle in Post Award for determinations. Communicating these decisions back to the department can be difficult when the outcome is not as they hoped. Brainstorm effective methods for presenting clear and consistent determinations that encourage positive communication.

Carrie Chesbro*, Sponsored Projects Administrator, Post-Award, University of Oregon
Julie Hansen, Portfolio Manager, Research Finance, Office of Sponsored Programs, Harvard University

Medical/Clinical
CLINICAL TRIALS: BEYOND THE BASICS
Clinical trials bring a whole new set of questions beyond the basics of post-award grant administration. What is the best practice around developing budgets to accurately reflect the true cost of performing the work? What should a research administrator look out for when reviewing and negotiating contracts? Join your fellow research administrators in a guided discussion on the ins and outs of clinical trials.

Kirsten Yehl*, Administrative Director, Institute for Public Health and Medicine, Northwestern University
Eskedar Alem, Financial Manager, Institute for Public Health and Medicine, Northwestern University

SPARK SESSION
1:00 – 1:20 pm
EXPORT CONTROLS FOR THE NEW COMER

Norman J. Hebert*, Director International Research Administration, Brown University
Audit/Compliance: Research Intensive Focus

AUDIT FINDINGS AND CORRECTIVE ACTIONS
Sponsors fund universities, colleges, hospitals, and non-profit organizations to conduct research and advance science. Research funding from sponsors requires all recipients to follow regulations, guidelines, sponsor rules, and best practices. With these rules come audit findings from A-133 audits, direct cost audits, and sponsor priority areas for compliance reviews. This session will discuss how to prepare for an audit, the audit methodology, recent audit findings and corrective actions, while providing an opportunity for participants to bring their own examples and questions relating to audits on our campuses. The session will be interactive, and discussion is encouraged to provide guidance to all participants.

Learning Objectives:
• Participants will fully understand the audit process and how to prepare the institution for any audit.
• Participants will be more aware of recent audit findings and the appropriate corrective actions.

Prerequisite: Participants should have a basic understanding of applicable federal guidance and regulations and how they can impact the treatment of costs.

Keith Graff*, Director, Health Industries Advisory, PricewaterhouseCoopers, LLP
Gregory Antonecchia, Manager, Grants & Contracts Accounting, Memorial Sloan-Kettering Cancer Center

Costing/F&A: PUI Focus

COMMUNICATION IS KEY TO BUILDING AN ALLOWABLE BUDGET AND MAINTAINING FISCAL COMPLIANCE
Communication is key to building an allowable budget and maintaining fiscal compliance. With colleges and universities having a variety of pre- and post-award organizational models to support research, open communication between all parties can be a challenge. As federal regulations continue to change, we must find ways to communicate effectively the changes with all parties to maintain fiscal compliance. This workshop is intended to provide communication tips as well as budget guidance.

Learning Objectives:
• Participants will gain knowledge on how to increase effective communication with supporting offices.
• Participants will be able to determine allowable and unallowable costs.

Alicia Brossette*, Assistant Vice President, Research Administration & Technology Management, Southern Methodist University
Costing/F&A: Research Intensive Focus

F&A - STRATEGIES FOR SENIOR LEADERSHIP

Executive leaders at research institutions understand the importance of F&A as a source of significant inflows, but they often need a stronger understanding of key proposal inputs, strategies, and the negotiation process. For individuals involved in preparing the F&A proposal, we have the very important task of educating our leaders on the bigger picture without losing them in the details. This session will focus on the communications we have with our leaders, as well how to get “buy in” so that we have the full support of our administration.

Learning Objectives:
- Participants will learn how to explain the F&A proposal at a high enough level that executive leadership can understand, without getting into details that they don’t need to know.
- Participants will understand strategies for teaching others what to expect from preparation, submission, and negotiation time.
- Participants will be able to explain the resources needed for a successful proposal submission.

Prerequisite: Participants should have an understanding of the components of the F&A rate calculation.

Josh Rosenberg*, Director, Cost Studies, Emory University
Mark Davis, Vice President & Partner, Higher Education and Academic Medical Centers, Attain, LLC

Federal Update

SUBRECIPIENT RISK ASSESSMENT AND MONITORING IN THE AGE OF THE UNIFORM GUIDANCE

The Uniform Guidance which became effective December 2014 requires that pass-through entities must evaluate the risk for each subaward issued under a federal award and utilize that assessment to determine if additional monitoring is warranted. The Federal Demonstration Partnership (FDP) has developed a model risk assessment questionnaire and guidance for utilizing that tool to meet this requirement. This session will use a case study to illustrate how one university utilized and refined the FDP tool and developed processes to efficiently meet these requirements. The session will be interactive so plan to share good practices from your institution.

Learning Objectives:
- Participants will recognize the additional requirements for risk assessment and monitoring of subrecipients under the Uniform Guidance.
- Participants will consider how other institutions are using the FDP model risk assessment tool to meet the risk assessment requirements.
- Participants will understand the documentation obligations for submonitoring required by the Uniform Guidance.
- Participants will explore ways to minimize the burden on Federally funded researchers inherent with these new requirements.

Prerequisite: Participants should have some familiarity with Uniform Guidance.

Susan W Sedwick*, Consultant, Attain, LLC
Anita Mills, Solutions Consultant, Evisions
2:45 – 3:45 pm
CONCURRENT SESSIONS AND DISCUSSION GROUPS

CONCURRENT SESSIONS (CONTINUED)

0 Human Capital
YOU’RE IN CHARGE OF YOURSELF – SELF-GUIDED PROFESSIONAL DEVELOPMENT
Do you know what you want to be when you grow up? Do you have a 5 year plan? How do you get from here to there? How many skills does it take to climb the career ladder? Which career ladder should you climb? What is your value proposition to the organization? What if no one asks you these questions? This session will focus on self-directed strategies to enhance your professional development from both a technical and soft-skill perspective. The presenters will share some strategies that have worked for them and will invite participants to share their experiences as well. Participants are encouraged to bring their resumes to reference during the session.

Learning Objectives:
• Participants will have a better understanding of the importance of professional development and learn what they can do to empower themselves in setting and achieving their goals.
• Participants will acquire strategies for enhancing their individual skill sets for career development.
• Participants will acquire an awareness of the importance of Emotional Intelligence and other soft-skill traits that will enhance their ability to move forward.

Lisa Mosley*, Executive Director, Research Operations, Arizona State University
Stacy Esposito, Director, Research Advancement, Fulton Schools of Engineering, Arizona State University Main

A Medical/Clinical: Departmental Focus
FACULTY AND STAFF APPOINTMENTS AND THE FINANCIAL MANAGEMENT OF CLINICAL TRIALS
Many differences and complexities exist in the administration of research programs in a clinical setting compared with those in a traditional university environment. This session will explore some of these differences and expand on issues related to academic medical centers and clinically based research programs. For example, universities often complain that it is difficult for institutions to account fully for the time spent by physician scientists because the boundaries associated with teaching, research, and patient care are blurred. Moreover, these activities are accounted for differently by specific federal agencies. This session will cover topics such as the definition of institutional base salary, clinical practice plans, affiliated vs. non-affiliated hospitals, what constitutes 100% effort, distinguishing between clinical effort and clinical trial effort, and how to manage commitments on clinical trials and reporting to ensure timely reimbursement. This session is designed to facilitate dialogue among the participants.

Learning Objectives:
• Participants will gain knowledge about compensation and effort reporting requirements within academic medical centers and clinically based research programs.
• Participants will discuss partnership across their institutions when accounting for activity on clinical trials.
• Participants will assist hospital and clinically based administrators in better understanding the administrative environments and how to navigate these complex arrangements.
• Participants will gain a better understanding of what is involved in the management of a comprehensive clinical trial program and will be encouraged to discuss/share participant practices and experiences.

Prerequisite: Practical experience in managing clinical trials, the research portfolio, and the effort reporting process for physicians and other support in academic medical centers.

Randi Wasik*, Research Administrative Director, Duke University
Post-Award and Operations: International Focus

UNIFORM GUIDANCE AND HORIZON 2020

Our researchers frequently collaborate on projects, often internationally. When international collaborations occur, there can be a tangled mess of regulations or conditions to sort through. We as research administrators assist in the management and support of what can be confusing or inconsistent requirements between organizations in different countries. Recent significant changes for the international research community include the U.S. Federal Government’s Uniform Guidance and the E.U.’s Horizon 2020. How do the Uniform Guidance cost principles and Horizon 2020 financial guidelines interact? What are some of the implications for how we manage international projects?

Learning Objectives:
• Participants will gain a basic understanding of the Uniform Guidance and Horizon 2020.
• Participants will hear comparisons of aspects of the Uniform Guidance and Horizon 2020, with a focus on the cost principles.
• Participants will learn some implications of the Uniform Guidance and Horizon 2020 on managing international research projects.

Jennifer A Rodis*, Policy and Planning Analyst, University of Wisconsin-Madison
Eva Björndal, Team Leader, Post-Contract and Finance Compliance, Karolinska Institute, Sweden

Post-Award and Operations: Research Intensive Focus

MANAGING FLUX: A NOVEL APPROACH TO SUPPORTING POST-AWARD OPERATIONS

This session will discuss the creation of a collegiate level position to support a variety of post-award operations at the departmental level that result from staff turnover, vacation, audit requests and staff leaves. In 2011, the College of Science & Engineering at the University of Minnesota created such a position to provide targeted support to post-award operations at the departmental level and to provide grants management leadership from the Dean’s Office. The moderators will discuss the wide variety of scenarios the position has covered and the stability it has afforded departments and centers in times of change. We also will discuss the financial and administrative benefits of a floating post-award position.

Learning Objectives:
• Participants will understand why a college-level floating post-award position was created and the benefits and challenges of the position.
• Participants will gain insights on strategies for developing and implementing a centralized post-award position.
• By facilitating an open dialogue about post-award operations, participants will consider options regarding post-award organizational structures.

Prerequisite: Knowledge of financial post-award research administration and related compliance issues is recommended for participants.

Rachel Veenstra*, Collegiate Accountant, University of Minnesota-Twin Cities
David Pappone, Finance Director, University of Minnesota
CONCURRENT SESSIONS AND DISCUSSION GROUPS

CONCURRENT SESSIONS (CONTINUED)

B Post-Award and Operations: Research Intensive Focus
COST SHARING, WHY PRE- AND POST-AWARD ADMINISTRATORS NEED TO GET INVOLVED
Principal Investigators (PIs) often propose sharing portions of research costs without fully understanding the administrative requirements for managing the cost sharing process. The session will focus on Federal definition of cost sharing and roles and responsibilities of the pre- and post-award administrators as well as PIs to stay compliant with Federal requirements for documenting, tracking and reporting cost sharing.

Learning Objectives:
• Participants will learn applicable federal policies for different types of cost sharing, including expectations of Federal sponsors for reporting and recording of cost shared expenses.
• Participants will learn different methods for capturing, tracking and documenting cost sharing.

Prerequisite: Pre-award and/or post-award intermediate level personnel or those re-examining cost sharing policies and practices at their institutions.

Urmila Bajaj*, Director of Project Accounting, California Institute of Technology
Patricia A. Hawk, Director, Sponsored Programs, Oregon State University

DISCUSSION GROUPS

Audit/Compliance
OMG...IT’S THE OIG! HOW TO PLAN, MANAGE AND SURVIVE AN OIG AUDIT
Everyone plays a role in compliance! Walk through one University’s experience in an OIG Audit, covering the steps of each phase of the review. Join us for a candid discussion on how to plan, manage and survive an OIG Federal Audit. Participants should come prepared to talk about their experiences with audits.

Roseann Luongo*, Associate Director, Training and Compliance, Harvard University
Nuala McGowan, Director of Research Finance and Compliance, Harvard University
Brianne E. Crowley, Senior Sponsored Research Administrator, Harvard University

Costing/F&A
Follow-up to Concurrent Session: “Developing Budgets: A Department Focus,” held at 1:00 pm
DEVELOPING BUDGETS: A DEPARTMENT FOCUS
Developing a clear and reasonable budget is one of the most important pieces of the proposal process. The regulations state that 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 will enhance the chances of being funded by the sponsor, and understanding how to assist PIs in building a reasonable budget is essential to our roles as research administrators.

Rebecca Hunsaker*, Assistant Director of Research Administration, University of Maryland, College Park
Gaye Bugenhagen, Director of Administrative Services, Sociology Department, University of Maryland, College Park
2:45 – 3:45 pm
CONCURRENT SESSIONS AND DISCUSSION GROUPS

DISCUSSION GROUPS

Medical/Clinical
BEST PRACTICES FOR ASSISTING CLINICAL FACULTY WITH PROPOSAL SUBMISSIONS; FEDERAL AND INDUSTRY
For Clinical Faculty, research is typically not their primary focus. Therefore those with an interest in research are often managing their time with various priorities, i.e. patient care, teaching, etc. In addition they often need assistance with identifying potential funding sources and are not as familiar with the proposal submission process. As Research Administrators how do we assist our Clinical faculty with their research efforts. This discussion group will discuss best practices used by Research Administrators to assist their Clinical Faculty with proposal submissions.

Tamara Hill*, Director, Research Administration Services, Emory University
Valerie Crickard, Senior Research Administrator, University of North Carolina at Charlotte
Erika Cottingham, Pre-Award Services Manager, University of North Carolina at Charlotte

Post-Award and Operations
UNIFORM GUIDANCE IMPACT FOR INTERNATIONAL SUBRECIPIENTS
The session will provide an opportunity for discussing the key changes represented in the Uniform Guidance that have relevance to issuing and managing subawards to non-U.S. recipients. We welcome participation from administrators from U.S. and non-U.S. institutions whether you are the receiving or giving end.

Jill Mortali*, Director, The Office of Sponsored Projects, Dartmouth College
Patrick W. Fitzgerald, Associate Dean for Research Administration, Harvard University

3:45 pm | CONFERENCE ADJOURNS