PRE-CONFERENCE WORKSHOPS & SENIOR LEVEL FORUMS

Pre-Conference Workshops and Senior Level Forums at-a-Glance

8:30 AM – 5:00 PM
Full Day Pre-Conference Workshops

Workshop 1: Pre-Award Basics
Workshop 2: Department Administrator’s Boot Camp

8:30 AM – 12:00 PM
Morning Half Day Pre-Conference Workshops and Senior Level Forums

Workshop 3: The Dos and Don’ts When Working With Faculty and Funding Organizations
Workshop 4: Uniform Guidance: What’s New, What’s Not and What Do You Have To Do About It?
Workshop 5: The Three I’s (IRB, IACUC, IBC)
Workshop 6: The Alphabet Soup of NIH Training and Career Development Awards
Workshop 7: Federal Contracting Issues

Senior Level Forum 8: Metrics: You Want What by When? Grant Success Rates, Research Performance Metrics, Forecasting
Senior Level Forum 9: Beyond Uniform Guidance: Other Issues We Need to be Concerned About

1:30 – 5:00 PM
Afternoon Half Day Pre-Conference Workshops and Senior Level Forums

Workshop 10: Subaward and Subrecipient Monitoring: The Basics and Beyond
Workshop 11: Effective Presentations
Workshop 12: Do You Really Know What You Think You Know: Understanding Pre-Award Requirements
Workshop 13: Basics of Contract Drafting and Negotiation
Workshop 14: OMB Uniform Guidance: Same – But Different

Senior Level Forum 15: Pre-Award and Audits: What to Know and What to Do
Senior Level Forum 16: Current Trends in Pre-Award Research Administration: Strategies for Managing Today’s Challenges

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Workshop 1: Pre-Award Basics

As research administrators, we play a key supportive role in assisting principal investigators to navigate their research projects through the various phases in the sponsored projects lifecycle. The pre-award phase of the lifecycle encompasses the development, institutional review and submission of proposals to external sponsors, as well as the negotiation and acceptance of sponsored research awards. Within the landscape of the pre-award phase, research administrators are consistently challenged with ever-changing rules and regulations related to a myriad of topics, including proposal submission, conflict of interest, use of animals in research, and export controls, just to name a few. In this workshop, we will delve into the general regulations governing sponsored research and apply them in the context of case studies. We will also explore many of the key pre-award processes, as well as examine key compliance areas that affect sponsored research during the pre-award phase of the sponsored projects lifecycle.

Learning Objectives: After completing this workshop, participants will be able to:
- articulate the various stages and activities associated with the pre-award phase of the sponsored projects lifecycle.
- communicate, interpret and apply the general regulations applicable to sponsored research in the context of the pre-award phase.
- identify the various elements of a proposal and describe their purpose and importance.
- discuss the key compliance areas that impact the pre-award phase.

Faculty: Bruce Morgan*, Assistant Vice Chancellor for Research Administration, University of California, Irvine
Toni Shaklee, Assistant Vice President for Research, Oklahoma State University

Workshop 2: Department Administrator’s Boot Camp

Pre-Award Research Administration seems to be learn-as-you-go and always in a very short timeframe, thanks to proposal deadlines. If you look at an RFP for NIH or NSF and are overwhelmed or find yourself nodding off to OMB, then we can help! This full-day workshop will dive into all Department Research Administrators (DRAs) pre-award aspects: examining the role we serve in research portfolio management, understanding the funding landscape and sponsor/recipient relationships, developing successful proposals and budgets, identifying resources on campus, and establishing tools for effective life-of-the-award project management. We will also discuss important federal and institutional policies that underpin and govern research, as well as some key award terms and how to navigate them. The session will be highly interactive and is designed to provide real-life examples, fundamental knowledge, tools for handling all manner of situations, tips for establishing your own research administration support network, and strategies for supporting your faculty and effectively managing your research portfolio. Participants will be encouraged to describe what is effective and share tools and solutions that work.

Learning Objectives: After completing this workshop, participants will:
- be able to identify key areas of responsibility, with knowledge of underlying federal regulations and impacting work.
- navigate funding opportunities, proposal packages, budgeting rules, and sponsor and institutional policies.
- gain strategies, understanding, and tools for managing pre-award activities at the departmental level.
- gain a broad understanding of compliance from the perspective of the departmental administrator.

Faculty: Heather Offhaus*, Director, Medical School Grant Review & Analysis, University of Michigan-Ann Arbor
Csilla Csaplár, Department Manager, Geophysics, Stanford University
Jill Tincer, Executive Director of Strategic Initiatives, Office of Research Administration, University of Miami
Workshop 3: The Dos and Don'ts When Working With Faculty and Funding Organizations

**PROGRAM LEVEL: INTERMEDIATE**

This workshop will provide a unique opportunity for participants to learn and examine the best practices for supporting investigators and facilitating the research and education mission of their institutions. Practical examples will demonstrate approaches that ensure compliance with new and evolving rules and unfunded mandates governing the proper oversight of sponsored research activities. Successful strategies to help investigators identify, secure and later manage research funding will be presented. Guidance and advice for interacting with funding organization Program and Grants Management representatives will also be provided. Striking a balance between ensuring the proper stewardship of third party research funding while supporting the success of our investigators requires research administrators to go the extra yard; this session will help you succeed in getting there.

**Learning Objectives:** After completing this workshop, participants will learn:
- effective communication strategies for faculty, sponsors, and colleagues.
- methods to become an advocate and ally to faculty and avoid being seen as an adversary.
- how to develop a toolbox and working knowledge of best practices for dealing with the many counterparts we engage with as research administrators.

**Prerequisite:** Participants should have a basic knowledge of grants administration, familiarity with major sponsor organizations, and an interest in becoming a more facilitative research administrator.

**Faculty:**
- **Anthony Beckman**, Research Administrator, University of Rochester
- **Walter L. Goldschmids**, Executive Director, Office of Sponsored Programs, Cold Spring Harbor Laboratory/Watson School of Biology

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Workshop 4: Uniform Guidance: What's New, What's Not and What Do You Have To Do About It?

**PROGRAM LEVEL: UPDATE**

The Uniform Guidance has caused great concern for all research administrators. While most of the rules remain 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 must have an understanding of the current OMB Circulars and their impact on institutional policy.

**Faculty:**
- **Timothy E. Reuter**, Director Post-Award, Stanford University
- **Rebecca Hunsaker**, Assistant Director of Research Administration, University of Maryland, College Park
- **Ann Holmes**, Assistant Dean, College of Behavioral & Social Sciences, University of Maryland, College Park

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Workshop 5: The Three I's (IRB, IACUC, IBC)

**PROGRAM LEVEL: BASIC**

Research institutions are obligated by law to uphold numerous standards for the ethical conduct of research. This session will provide an introduction to three critical parts of the research compliance landscape: the care and use of animals, the protection of human subjects' rights and welfare, and the safe use of recombinant DNA.

**Learning Objectives:** Participants will learn about requirements for the care and use of laboratory animals, for human subject protection and for the use of DNA.

**Faculty:**
- **Tracy Arwood**, Assistant Vice President for Research Compliance, Clemson University
Workshop 6: The Alphabet Soup of NIH Training and Career Development Awards

**PROGRAM LEVEL:** OVERVIEW

Part of the stated mission of the National Institutes of Health (NIH) is to "develop, maintain, and renew scientific human and physical resources that will ensure the Nation's capability to prevent disease." Ruth L. Kirschstein National Research Service Awards (Kirschstein-NRSA) training grants and fellowships are awarded to support pre-doctoral and post-doctoral research training to help ensure that a diverse and highly trained workforce is available to carry out the Nation's biomedical, behavioral and clinical research agendas. Institutional Kirschstein-NRSA (T awards) are awarded to domestic institutions that have the facilities and qualified faculty to provide research training programs in several scientific specialties. Individual Kirschstein-NRSA Fellowships (F awards) are awarded to individuals enrolled in doctoral degree training as well as to promising post-doctoral individuals with the potential to become productive, independent investigators in scientific health-related research fields. Career Development Awards (K awards) are awarded to provide support and "protected time" for an intensive, supervised career development experience leading to research independence. The successful attainment of any one of these NIH training/career development awards is honorable, and the pre- and post-award administrative responsibilities are unique. This workshop will offer an overview of the administration of NIH training and career development awards from proposal preparation to closeout. We will also discuss the use of X-Train, the online interface where authorized users electronically process the required paperwork associated with Kirschstein-NRSA training grants and Fellowships. This workshop is brought to you by the letters F, K, T and X!

**Learning Objectives:** Participants will learn:
- the importance of the specialized information included in an Institutional NRSA proposal and where within their institution such information may be acquired.
- how to assist pre-doctoral and post-doctoral trainees with the preparation of their NRSA fellowship proposals.
- the post-award administrative requirements for NIH NRSA and K awards.
- how to discuss the nuances of K awards with faculty.
- the basic appointment and termination functions of the X-Train System.

**Faculty:**
- Glenda Bullock*, Director of Research and Business Administration, Department of Medicine, Washington University in St. Louis
- Brenda Kavanaugh, Associate Director, Office of Research and Project Administration, University of Rochester

Workshop 7: Federal Contracting Issues

**PROGRAM LEVEL:** ADVANCED

This workshop will take participants deeper into the intricacies of federal contracting to examine issues that come into play after the contract has been executed by the institution. Topics covered will include: applicability of the Uniform Guidance to contracts; overlooked reporting and prior approval requirements; dealing with stop-work and termination; issues associated with being a federal subcontractor; and contract disputes and privity. Participants will also delve into a number of timely issues, including the revised "super" clauses on property and patent rights.

**Learning Objectives:** Participants will learn:
- when the Uniform Guidance will apply to federal contracts.
- to identify various types of reporting and prior approval requirements.
- to describe a contractor's rights and obligations in the event of stop-work or early termination.
- to explain a contractor's rights and obligations during a contract dispute.

**Prerequisite:** A solid understanding of the FAR and of federal contracting principles is necessary in order to achieve the full benefits of participation in this workshop.

**Faculty:**
- David Mayo*, Director of Sponsored Research, California Institute of Technology

* Lead Presenter
Senior Level Forum 8: Metrics: You Want What by When? Grant Success Rates, Research Performance Metrics, Forecasting

**PROGRAM LEVEL: ADVANCED**

This forum will provide senior research administrators and data managers an opportunity to discuss institutional approaches to metrics and reporting. Among topics discussed will be monitoring grant success rates, forecasting research expenditures, metrics used for proficiency of pre-award operations, use of research performance metrics tools/visualization packages and staffing for data requests. Demos will be provided by representatives from a public and private university. Attendees will be contacted prior to the meeting and will be asked whether they wish to demonstrate any helpful reports, metrics or tools. We hope you will join us for what will be an insightful and interactive forum!

**Learning Objectives:** Participants will learn how other institutions are developing and using reporting tools and metrics and discuss the pros and cons of various methods of institutional reporting and metrics.

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

**Faculty:**
- Govind Narasimhan*, Director of Research Finance, University of Texas M.D. Anderson Cancer Center
- Catherine E. Breen, Senior Director, Sponsored Programs Administration, Harvard University

1:30 – 5:00 PM

**Afternoon Half Day Pre-Conference Workshops and Senior Level Forums**

Workshop 10: Subaward and Subrecipient Monitoring: The Basics and Beyond

**PROGRAM LEVEL: BASIC**

This workshop will explore the full cycle of subawards and subrecipient monitoring, a complex, shared responsibility that begins at the time of proposal development and extends throughout the life of the subaward. The workshop will focus on sharing tips, strategies and practical guidance, and is designed to introduce the topic to newcomers, as well as provide comprehensive tools to more experienced research administrators. Through discussions, case studies and exercises, participants will work through implementation strategies, in areas of pre-award risk analysis, as well as post-award monitoring.

**Learning Objectives:**
- Participants will learn to recognize subaward characteristics and understand subrecipient monitoring responsibilities.
- Participants will also acquire strategies for addressing day-to-day monitoring issues as well as central monitoring responsibilities.

**Faculty:**
- Antoinette Lawson*, Director, Office of Research Administration, University of Maryland College Park
- Aimée Howell, Manager, Contract & Grant Accounting, University of Maryland, Baltimore County
- Mary Schmiedel, Associate Dean for Research Administration & Director, Office of Sponsored Programs, Georgetown University
Understanding Pre-Award Requirements

Know What You Think You Know: Understanding Pre-Award Requirements

**PROGRAM LEVEL: OVERVIEW**

Often as research administrators, we pride ourselves on having a specific knowledge and skill-set that is required to execute the responsibilities of our day-to-day jobs. However, due to funding agencies regularly changing their requirements related to pre-award, it is of paramount importance for pre-award administrators to not become too complacent in what they may currently know as their day-to-day obligations. As a result, it is important for pre-award research administrators to understand and adhere to the requirements and follow the correct policies and procedures of a sponsor. This workshop will review what to look for in funding announcements, developing a comprehensive budget, and provide an in-depth overview of administrative details that may sometimes be overlooked.

**Learning Objectives:** Participants will learn to:

- identify opportunities for improving the overall review of an investigator's research proposal.
- detect common pitfalls and offer examples how funding decisions could be delayed due to administrative proposal issues.
- recognize ways to pro-actively provide guidance to investigator's when developing certain aspects of his/her proposal.

**Faculty:** Timothy Schailey*, Director, Sponsored Programs, Christiana Care Health System
Anne Albinak, Senior Administrative Manager, Johns Hopkins University
Erin Bailey, Associate Director, Primary Care Research Institute, University at Buffalo
Tolise Miles, Senior Grants & Contracts Specialist, Grants and Contracts Administration and Finance, Children's National Medical Center

Basics of Contract Drafting and Negotiation

**PROGRAM LEVEL: BASIC**

What does all of that legalese mean? How can I best approach review and negotiation of a “thick” contract? What sections of a contract should I focus on? This workshop will introduce participants to the basics of contract review, drafting and negotiations with an emphasis on contracts with non-profit and for-profit sponsors. The workshop will use a combination of lecture, examples, and interactive exercises to review the meaning and context of common legal terms and provide techniques to spot troublesome clauses and redraft them. The workshop will also discuss how to communicate positions persuasively and effectively during negotiations to achieve desired outcomes and build successful relationships.

**Learning Objectives:** Participants will learn:

- the contract mechanisms used for research funded by nonprofit and for profit entities.
- common legal terms and techniques to spot troublesome clauses.
- best practices for drafting and redrafting contract clauses to meet the needs of the parties.
- to communicate positions effectively and persuasively during difficult contract negotiations.

**Faculty:** Nancy Lewis*, Director, Sponsored Projects, University of California, Irvine
Tam K. Tran, Assistant Director for Sponsored Projects, University of California-Irvine.
Heather M. Kubinec, Principal Contract & Grant Officer, University of California-Irvine

Effective Presentations

Do participants in your presentations often text or check their email? Do they get fidgety or “rest their eyes?” This workshop is designed to help you avoid these scenarios by giving you tools to develop presentations that are engaging, content-rich, and geared to adult audiences. Research administrators possess a cadre of knowledge, skills, and abilities. Yet these skills may be different than those necessary to serve effectively as NCURA discussion leaders, panelists, or workshop faculty. Integrating adult learning theory and techniques into presentations can make the difference between attendees surfing the web on their smart phones or being fully engaged. Additionally, this workshop will offer tips on how to build a collaborative presentation with others, while clarifying the types of NCURA presentations and the varying roles and duties involved.

**Learning Objectives:** Participants will learn presentation and training techniques tailored to adult learning and tidbits for presenting in various NCURA venues.

**Faculty:** Jeffrey Ritchie*, Director of Sponsored Programs, Lewis University
Tricia Callahan, Director, Proposal Development, Miami University
Mary Louise Healy, Associate Director, Research Administration, Krieger School of Arts and Sciences, Johns Hopkins University

* Lead Presenter
Workshop 14: OMB Uniform Guidance: Same – But Different  
**PROGRAM LEVEL: BASIC**

How will the consolidation of the OMB Circulars into government-wide Uniform Guidance affect award administration at colleges and universities? Will the “super-circular” end up being “super-confusing”? When it comes to the administering federal assistance awards, some things will change, but much will stay the same. This workshop will outline the uniform guidance and how it applies to day-to-day award administration. Designed for the newcomer as well as the seasoned research administrator unfamiliar with the consolidated circular, this overview will examine the guidance with an emphasis on the “super-important” basics. Come prepared to learn the ins and outs of this complexity of administrative rules and how the individual federal agencies have incorporated the guidance into their own administrative requirements.

**Learning Objectives:**
- Participants will gain an understanding of the OMB uniform guidance on federal financial assistance awards.
- Participants will also learn how the agencies have implemented the new federal guidance and how to apply this guidance in award administration.

**Faculty:**
- Gunta Liders*, Associate Vice President for Research Administration, University of Rochester
- Jane Youngers, Assistant Vice President For Research Administration, The University of Texas Health Science Center at San Antonio

Senior Level Forum 15: Pre-Award and Audits: What to Know and What to Do  
**PROGRAM LEVEL: ADVANCED**

Audits are a common occurrence. While the focus of their attention has thought to be on post-award and financial activities, that’s not always the case. Increasingly, auditors are spending more time on reviewing internal controls, proposal and budget documentation, grant management systems, and other areas of pre-award responsibilities. This forum will look at audits from a pre-award perspective, share what to expect and how to approach the audit, and hear your ideas on working within your office and institution to ensure that the audit process runs smoothly with positive outcomes.

**Learning Objectives:** Participants will learn:
- audit processes and how to effectively manage audits at their institution.
- gain insight in developing processes and the documentation that will meet sponsor requirements
- learn how to build an effective project team and project plan.

**Prerequisite:** Participants should be senior administrators with experience and responsibility for decision making and policy implementation.

**Faculty:**
- Robert Andresen*, Director of Research Financial Services, Associate Director, Research and Sponsored Programs, University of Wisconsin-Madison
- Stephanie Gray, Director, Division of Sponsored Research, University of Florida

Senior Level Forum 16: Current Trends in Pre-Award Research Administration: Strategies for Managing Today’s Challenges  
**PROGRAM LEVEL: ADVANCED**

Peer Reviewers from NCURA’s Peer Review Program will discuss some of the common trends they are seeing in pre-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.

**Learning Objectives:** Topics covered will include, but are not limited to:
- organizational structure.
- training and education.
- strategies for working with researchers.
- improving business process efficiency.

**Prerequisite:** Participants should have experience managing pre-award research administration teams.

**Faculty:**
- Kerry Peluso*, Associate Vice President for Research Administration, Emory University
- Peggy S. Lowry, Program Director, NCURA Peer Programs, National Council of University Research Administrators
- David Mayo, Director of Sponsored Research, California Institute of Technology