### Full Day Pre-Conference Workshops

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### Conference Workshop

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**Thursday | August 11, 2016 | 8:30 am – 4:30 pm**

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WORKSHOP 1

THE BASICS: PRE-AWARD FUNDAMENTALS
Program Level: Basic

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

Scott Niles*, Grants and Contracts Administrator, Morehead State University
Riddick Smiley, Assistant Director, Sponsored Programs, East Carolina University
Kirsten Yehl, Administrative Director, Northwestern University

WORKSHOP 2

POST-AWARD 101: WHAT YOU NEED TO KNOW TO BE A POST-AWARD RESEARCH ADMINISTRATOR
Program Level: Basic

This workshop is a post-award focused step-by-step guide for newcomers to the profession, both in central offices and at the department level, illustrating an efficient and effective way to handle sponsored project administration, communicate with faculty, and make sure the project is successfully compliant. Specific points in the process are highlighted to show where the various rules and regulations are involved, and how they relate to our day to day work. Handouts will include: A written step-by-step guide for monthly reconciliation; a sample email communication to faculty to illustrate effective communication on policy or regulatory issues; and more.

Learning Objectives
• Participants will be able to effectively manage sponsored projects at the department or unit level.
• Participants will be able to effectively communicate with faculty on policy and regulatory issues.
• Participants will be able to identify and avoid common post-award pitfalls.

Brigette Pfister*, Director of Sponsored Programs, College of Humanities & Sciences, Virginia Commonwealth University
Jaime Petrasek, Grants and Contracts Program Manager, Virginia Commonwealth University
WORKSHOP 3
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.’ Kirschstein NRSA training grants and fellowships are awarded to support predoctoral and postdoctoral 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 agenda. Career Development Awards (K awards) are awarded to provide support and ‘protected time’ for an intensive, supervised career development experience leading to research independence. While the successful attainment of any one of these NIH training/career development awards is honorable, 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.

Learning Objectives
We will also discuss the use of x-TRAIN, an online management tool for appointments and terminations of trainees. The use of ASSIST to process competing applications and RPPR reports will be presented as will the use of x-TRACT as a tool to create the multitude of statistical tables required for successful submission. This workshop is brought to you by the letters F, K, T and X!!!

Prerequisites: The desire for a challenge!

Brenda Kavanaugh*, Associate Director, Office of Research and Projects Administration, University of Rochester
Glenda A. Bullock, Director of Research and Business Administration, Division of Hematology, Rheumatology, Allergy and Immunology, Washington University in St. Louis
Workshop 5

**BOOT CAMP ON THE BASICS OF CONTRACT DRAFTING AND NEGOTIATIONS**

Program Level: Basic

Are you new to contract review, drafting, and negotiations and would like to learn about the best ways to manage these activities? In this interactive session, the presenters will use the example of a corporate research agreement to examine the anatomy of a contract and key issues routinely raised in contract review and negotiation. They will also use a subaward to illustrate the essentials of drafting an agreement. Through this basic step-by-step review of all the elements of a contract with related examples and case studies, participants will have an opportunity to learn how to identify what is and what is not acceptable language, and how to rectify and redraft language to the satisfaction of both parties.

Learning Objectives
- Participants will learn about various contract mechanisms and how and when to use them.
- Participants will learn about drafting an agreement that meets the needs of both parties.
- Participants will learn how to identify the good, the bad and the ugly language in any type of agreement.

Janet B. Simons*, Director, Research Policy, University of Maryland, Baltimore
Marjorie Forster, Assistant Vice President for Research and Global Health Initiatives, University of Maryland, Baltimore (Emeritus)
WORKSHOP 6
INTELLECTUAL PROPERTY FOR RESEARCH ADMINISTRATORS
Program Level: Intermediate
Discovery is the goal of research and the result is often the creation of new intellectual property. In this workshop, participants will explore the treatment of intellectual property in sponsored research agreements, how it is disclosed and protected, and how it is further developed and commercialized. Federal and industry agreements will be compared and federal solicitations that require industry participation will be discussed.

Learning Objectives
• Participants will have a better understanding foreground and background intellectual property.
• Participants will have the ability to differentiate patentable subject matter, copyrights, trade secrets, and know-how.
• Participants will learn what the Bayh-Dole Act says and how it should be applied.
• Participants will learn about applications of intellectual property terms in federally-funded research agreements.
• Participants will be able to describe how publication clauses, publicity clauses, indemnification, and other parts of an industry contract are related to intellectual property terms.

Jilda Diehl Garton, Vice President for Research and General Manager of GTRC and GTARC, Georgia Institute of Technology

WORKSHOP 7
BUILDING AND MANAGING BUDGETS - THE BASICS
Program Level: Basic
Hit the ground running--that's what we all say, right?! But how does one ‘run’ when we haven’t learned to ‘scoot’ yet? In this workshop, we are going to start at the very beginning of budget development and work our way from estimates to managing the budget(s) of an active project(s). Bring your laptops, and make sure IT has loaded Excel onto it, as we are going to be hands on in our budget development and projection management. This session will focus on budget development, review, and management from inception to closeout, offering tools, insight, stories, and cautionary tales along the way. We will discuss very specific ‘how-to’s’ and will provide attendees with templates. Additionally, we will look at case studies, determination of allowable/allocable/ reasonable and necessary, as well as differentiation between cost type (stipends vs support; subaward vs vendor; etc.)

Learning Objectives
• Participants will learn how to develop a budget using Excel.
• Participants will learn how to review budgets for problematic expenditure types and misunderstandings in allocation type.
• Participants will learn how to manage a budget from development through award closeout.

Prerequisites: Participants, please bring a computer with Excel.

Lindsey Demeritt*, Associate Director, Sponsored Research, University of Texas at Austin
Allison Ramos, Principal Contract and Grant Officer, University of Southern California
Samantha J. Westcott, Independent Consultant
WORKSHOP 8

A (VERY) BEGINNER'S GUIDE TO PROPOSAL WRITING

Program Level: Basic

Have you seen this grant opportunity? We should apply for it! When you hear something like that from your leadership, be advised that it’s not the ‘Royal We’ being referenced. Actually, YOU are going to write a proposal for external funding. Problem is, you’ve never done that before. Or maybe you’re working with a young faculty member who has never written a proposal before and your mission is to help that person land a research grant. In either case, you’re looking at a steep learning curve. Specially designed for PUI personnel, this workshop will take you through the process of writing a grant proposal, including all those things that have nothing (much) to do with actual writing, but can make your proposal stronger and more competitive. We’ll talk about (and have examples of) effective Need Statements, Research Questions, Logic Models, and Evaluation Plans. We’ll also talk about effective writing skills and key elements you should make sure find their way into your proposal.

Learning Objectives
• Participants will learn pre-writing issues to address before starting a proposal.
• Participants will learn how to formulate an effective Research Question or Need Statement.
• Participants will learn how to structure a research plan.
• Participants will learn how to use charts and visuals to complete a proposal.

Jeffrey Jay Ritchie*, Director of Sponsored Programs, Lewis University
Michelle Schoenecker, Senior Proposal Development Manager, University of Wisconsin-Milwaukee

WORKSHOP 9

COMPLIANCE BASICS 101 (IRB, IACUC, IBC, COI): WHAT YOU NEED TO KNOW

Program Level: Basic

Are you new to the world of compliance and looking to understand the basics? This workshop will provide an introduction to the primary areas of the compliance landscape: Institutional Review Board (IRB), Institutional Animal Care and Use Committee (IACUC), Institutional Biosafety (IBC), and Conflicts of Interest (COIs). The interactive workshop will include case studies, discussions, lessons learned and exercises to help understand the regulations governing these areas that are the cornerstones of non-financial compliance.

Learning Objectives
• Participants will be able to identify how the areas intersect with research administration and the research enterprise.
• Participants will gain an understanding of common research compliance issues.
• Participants will be able to identify project activities that may require a compliance review.

Rosemary E. Madnick*, Executive Director, Office of Grants and Contracts Administration, University of Alaska Fairbanks
Debra Barnes Murphy, Director, Knowledge Enterprise Development, Arizona State University

* Lead presenter
WORKSHOP 10

IMPROVING PROCESS AND QUALITY MANAGEMENT IN RESEARCH SUPPORT OFFICES (RSO): A RECIPE FOR SUCCESS

Program Level: Advanced

Idea: Management skills are fundamental and critical to research managers, administrators, and faculty participating in complex projects – both domestic and global. The right project management and oversight and choice of management tools can make the difference between a successful project or one that is fraught with obstacles. However, coordinating and administering projects is a time consuming business. Research Support Offices at many institutions act as service points during the pre-award phase to support researchers and give them more time to focus on their core tasks. Research Offices often focus on processes, procedures and administrative support. Research Offices strive to be service oriented. This workshop will provide an opportunity to familiarize participants with processes and methods to make them even more efficient and effective and provide high quality service support.

Workshop Methods: The workshop will integrate individual/group exercises, discussions, and case studies. Participants will develop a familiarity and have the opportunity to use numerous project management templates. Individuals will be encouraged to share their own process experiences, so participants can compare approaches of different institutions and identify bottlenecks, and streamlining solutions. Small group exercises will provide an opportunity to develop process flow charts, discuss differences and similarities, and risks. Through a hands-on environment participants will develop ideas on how to improve processes, mitigate risks and increase ‘customer’ satisfaction. The emphasis of the workshop is on techniques, quality control issues and process streamlining to reduce workloads and errors while enhancing customer satisfaction. Participants will learn how to tackle goals, time, budget and daily obstacles in order to perform given objectives better. The workshop provides relevant tools, checklists, and templates for all process phases.

Learning Objectives

- Participants will learn the basics of process management, i.e. preparation, work phases, descriptions and flow charts, interface challenges, control.

- Participants will be able to create their own flow charts in groups, discuss and compare Identify bottlenecks/obstacles.

- Participants will learn creative methods for avoiding bottlenecks and reducing risks.

- Participants will learn methods to increase ‘customer’ satisfaction (e.g. PI).

- Participants will design best practice ideas and measures.

Prerequisites: The workshop aims at encouraging the participants to discuss, network and exchange their knowledge and ideas, and to find creative solutions. Since we work on principles and principle considerations and strategies, the participants do not need software for the exercises. Paper and pencils will be sufficient. The workshop is beneficial to all professionals who work in research administration offices, both central and departmental. Participants should have a basic knowledge of handling projects or working in processes. Participants are welcome to discuss their own cases.

Susanne Rahner*, Managing Director, Yggdrasil
Denise A. Wallen, Research Officer & Senior Fellow, University of New Mexico
WORKSHOP 12

EFFECTIVE PRESENTATIONS

Program Level: Basic

As a research administrator and NCURA member, you may often be called upon to explain issues surrounding sponsored research and the administration of grants and contracts. 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. This workshop will discuss effective presentation styles and techniques and explore the complexities of team presentations, particularly those that involve colleagues from other institutions and even around the globe. We will also clarify the different types of NCURA presentations and their varying roles and duties.

Learning Objectives

- Participants will learn presentation and training techniques tailored to adult learning.
- Participants will learn the various types of NCURA presentations and receive strategies for presenting in each venue.
- Participants should have an understanding of what F&A is and how it is applied on sponsored projects.

Tricia L. Callahan*, Director of Proposal Development, Office for the Advancement of Research & Scholarship, Miami University

WORKSHOP 11

F&A FOR PUIs

Program Level: Advanced

There are three ways to calculate F&A: salaries and wages, short form TDC/MTDC, and long form MTDC. What are the differences between them, and which is the most appropriate for a PUI to use, based on their funding level, projected F&A recovery, and cost of the rate preparation? We will review these three methodologies and discuss the pros and cons of each, illustrated by examples of rate calculations using the different methodologies.

Learning Objectives

- Participants will be able to describe the three methodologies of F&A rate preparation and explain the differences between them.
- Participants will possess the knowledge necessary to determine which methodology is best for their institution.
- Participants should have an understanding of what F&A is and how it is applied on sponsored projects.

Carolyn Elliott-Farino*, Executive Director, Office of Research, Kennesaw State University
WORKSHOP 13

A WORKSHOP DESIGNED TO PUT THE PUZZLING PIECES OF CLINICAL TRIALS AND RESEARCH ADMINISTRATION TOGETHER

Program Level: Basic

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, contractual, financial, and regulatory issues that arise in the planning, funding and conduct of clinical trials, including:

- The unique complex regulatory environment for clinical trials
- The intricacies of developing a clinical trial budget, identifying start up costs, hidden costs and managing expenditures.
- Types of payment schedules and their impact on cash flow.
- Key negotiation issues that often arise in a clinical trial agreement.
- Identifying strategies for negotiating a successful trial agreement.
- Exploring institutional models to manage regulatory challenges such as research billing, financial disclosures and NIH clinical trials.
- Tools and solutions to manage the clinical trials enterprise.
- Closing-out clinical trials.

Learning Objectives

- Participants will gain an understanding of the nuances involved in developing and managing a clinical trial budget and project expenses.
- Participants will learn how to manage multifaceted issues that often arise in a negotiation of trial agreements.
- Participants will increase their knowledge in the review of key contract terms and their implications and gain confidence in the negotiation process with sponsors.
- Participants will learn about the complexities of managing clinical trials, study billing processes and how it relates to financial compliance.
- Participants will learn how clinical trials are closed-out and how to manage post-close-out institutional obligations and responsibilities.

Prerequisites: A basic working knowledge of clinical trials. This session will build on standard operating procedures and best practices

Lisa Benson*, Director, Research Administration and Sponsored Programs, Connecticut Children’s Medical Center
WORKSHOP 14

SUBRECIPIENT RISK ASSESSMENTS: PROCESSES, PROCEDURES & PROBLEM SOLVING (OR PITFALLS)

Program Level: Overview

The Uniform Guidance has gifted us with many clarifications and some new freedoms, but also includes some additional and more prescriptive requirements. One of these areas is subrecipient monitoring, specifically in the area of risk assessment. During this session, attendees will learn the need for and application of risk assessments of subrecipients. This will include an assessment of the proposed entity and project. Participants will learn the appropriate questions to ask during the lifecycle of a subaward in order to assess risk. Discussions will take place addressing roles and responsibilities in central offices. The workshop will include a walk-through of the FDP RAQ documents (initial and annual) as examples. Troublesome real-life subrecipient scenarios will be used as examples, and attendees will discuss how to identify and address high-risk concerns.

Learning Objectives

- Participants will learn tools for conducting risk assessments at the time of subaward issuance and separately during the life of the award, using the FDP Risk Assessment Questionnaire as a model
- Participants will review the sources of the requirements to conduct risk assessments and the risks associated with failing to do so.
- Participants will learn to utilize available data and tools to collect the necessary information to score or conduct risk assessment.
- Participants will examine sample institutional processes and procedures for collecting, conducting, and coordinating risk assessments.
- Participants will learn basic responses to identified risks, using real-life subrecipient scenarios.

Prerequisites: For research administrators who have already taken a general workshop on ‘subrecipient monitoring’ or have experience issuing subaward agreements.

Steven Carter*, Director, Office of Contract and Grant Administration, Scripps Institution of Oceanography, UCSD
Marcy Friedle, Subcontracts Grants Officer II, The Florida State University
Lisa E. Mosley, Assistant Vice President, Research Operations, Arizona State University
Jennifer Rodis, Policy Analyst, University of Wisconsin-Madison
Stephanie F. Scott, Communications and Outreach Director, Sponsored Projects Administration, Columbia University in the City of New York
WORKSHOP 15
MANAGING RISKS THROUGH INTERNAL CONTROLS
Program Level: Basic

The term Internal Control is repeatedly referenced in federal audits and in the Uniform Guidance, but what does it really mean? This workshop will de-mystify the term and provide an overview and a general framework that can be used to practically and reasonably assess and implement an Internal Controls program at your institution in order to mitigate risks.

Learning Objectives

• Participants will learn about the COSO Framework for Internal Controls.
• Participants will be introduced to strategies to assist in assessing and implementing Internal Control programs.

Roseann L. Luongo*, Associate Director, Training and Compliance, Harvard University
Jeff Seo, Director of Research Compliance, Harvard Medical School

WORKSHOP 16
CAREER EVOLUTIONS: FROM MANAGING GRANTS TO MANAGING GRANT MANAGERS
Program Level: Advanced

New managers often struggle with the difference between having been an excellent Research Administrator and their new reality of managing new employees and former peers. The purpose of this workshop is to reconcile the differences between managing grants and managing people through leveraging known tools of grants management, while recognizing the unique challenges facing new managers. The workshop will address common misconceptions new managers have about their roles as leaders, managers and mentors. Participants will discuss how their current skills can be used in management and will be given the tools to define their own management principles. We will examine what it means to have a management brand and how that philosophy is presented and received across the institution. The goal is to encourage new managers to think about management as a concept, and provide them with resources that they can utilize long after the session is over.

Learning Objectives

• Participants will develop their management brand, and define their philosophy.
• Participants will identify, address, and resolve common management mistakes.

Minessa Avril Konecky*, Manager of Operations, Beth Israel Deaconess Medical Center
Eleanor Greene, Conflict of Interest Specialist, Office of Compliance and Business Conduct, Beth Israel Deaconess Medical Center
WORKSHOP 18
INTERNATIONAL WORKSHOP - US INSTITUTIONS PURSUING/MANAGING OUTSIDE US FUNDING
Program Level: Overview
Managing awards from sponsors outside your home country can be simple, or it can be not as simple. While awards from international sponsors can be very similar to our domestic agreements, they are very often different when it comes to compliance. This workshop will talk about the similarities and differences, starting with proposal preparation/submission, negotiation and acceptance, and ending with closeout and audit. Strategies and best practices for grant management, including subrecipient monitoring, will also be discussed.

Learning Objectives
- Participants will gain an understanding of international sponsors’ funding opportunities, common contracting principles applied to international research grants, as well as best practices for award management and subrecipient monitoring.

Patricia A. Hawk*, Assistant Vice President, Office for Sponsored Research and Award Administration, Oregon State University
Eva Björndal, Team Leader Post-Contract and Financial Compliance, Karolinska Institutet
Martin Kirk, Director, Office of Research Services, University of British Columbia

WORKSHOP 17
CONSCIOUS LEADERSHIP
Overview
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
- The workshop will also include an introduction to meditation to bring us to a more responsive, less reactive style.

Tara E. Bishop*, Deputy Chief Executive, National Council of University Research Administrators and Certified Meditation Instructor, Chopra Center University
SENIOR LEVEL FORUM 19

THE MAGIC OF METRICS: HOW TO UTILIZE METRICS TO DRIVE PERFORMANCE WITHIN YOUR OFFICE
Program Level: Advanced

Our offices face a constant demand to analyze our operations, assess the impact of environmental changes, prepare for the future, and drive performance by us and others. As we seek to support research and our researchers within our institutions, analytics can provide us with a very strong tool. However, if not strategically implemented, these can become more of a chore than a tool. This session will cover how to develop a metrics structure that will successfully support you and your institution in achieving your goals. Topics covered will include:

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

Learning Objectives
- Participants will understand how to develop a metrics structure for your organization.
- Participants will understand how to use metrics to drive performance within your organization.
- Participants will understand the common metrics typically tracked for research administration.

Prerequisites: Participants should have a high level of knowledge of research administration.

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

SENIOR LEVEL FORUM 20

SHARED SERVICES IN A BOX: EVERYTHING YOU’LL NEED TO DIY IN YOUR SHARED SERVICES CENTERS
Program Level: Advanced

In this Senior Level Forum we will explore the proven methodologies developed over time and in several shared service transformations. We will share the tools to help move your departmental model to a shared model.

Learning Objectives
- Participants should have the information and tools to assess, design and implement a shared service operation for their institution.

Prerequisites: This Senior Level Forum would be for advanced participants only. A deep understanding of the entire research administration arc is required. Desired background would include some process improvement experience. Process improvement implementation also desired.

Tomas Pereira*, Manager, PricewaterhouseCoopers, LLP
F. John Case, Sr. Vice President for Operations and Chief Financial Officer, Morehouse School of Medicine
Bill Dracos, Associate Vice President for Administration and Chief Business Practice Improvement Officer, Emory University
WORKSHOP 22

EXPORT CONTROLS

Program Level: Overview

This workshop will give research administrators an understanding of the export control regulations and the tools to recognize when they may apply to a sponsored research activity, to negotiate the least restrictive terms possible when dealing with troublesome language, and to communicate effectively with faculty and sponsors on export control issues. Focus will include federal prime, federal flow through, and industry sponsored research agreements. We will review broad agency announcements, requests for proposal and research agreement contract language to develop negotiation strategies through hands on activities. We will also discuss effective strategies to ensure compliance with the regulations without unnecessarily limiting access to the research from project initiation through close-out.

Learning Objectives
• Participants will have a better understanding of the U.S. export control regulations.
• Participants will be able to recognize contract and other agreement language that implicates potential export control issues.
• Participants will develop an understanding of how the contract language interplays with the underlying activity.
• Participants will develop skills to use institutional policies to negotiate out troublesome clauses related to export controls.
• Participants will be able to recognize when a project is export controlled and develop institutional strategies to promote compliance.

Prerequisites: Participants should have a basic understanding of U.S. export control laws, and of proposal submission and agreement negotiation.

Elizabeth Peloso*, Associate Vice Provost/Associate Vice President, Research Services, University of Pennsylvania
David Brady, Director, Export and Secure Research Compliance, Virginia Tech
Jillian Cawley, Contracts & Grants Accounting Manager, Stockton University
Jessica Cote, Contract & Grant Specialist, University of Delaware
Jennifer Saak, Managing Director, Traliance LLC
WORKSHOP 24  

FISMA, NIST STANDARDS & REGULATED DATA  
Program Level: Advanced  

Protecting research information and systems from unauthorized access, use, disclosure, disruption, modification, or destruction is a critical component to safeguarding research information and preventing financial loss or damage to the university’s reputation. Protecting confidential information is not only a legal and business requirement, but is also an ethical requirement. Due to increased cybersecurity concerns throughout the world, research sponsors are including more stringent requirements for working with restricted data. There is a notable increase in the number of grants and contracts requiring the university to implement specific privacy and security safeguards for data and information systems as mandated by federal (HIPAA, FISMA, NIST, FERPA, GLBA, ITAR, Privacy Act), state and/or local law, industry sanctioned (PCI-DSS), university policies (i.e. UF Privacy Office, Security Office) or agreements (i.e. Data Use Agreement, Business Associate Agreement, etc.). This session will cover the regulations and offer best practices in creating compliant environments.

Learning Objectives
- Participants will review differences between Excel 2007, 2010, and 2013.
- Participants will examine formatting conventions that effectively communicate key information and/or highlight variances.
- Participants will learn about select Excel functions, formulas, and tools.
- Participants will construct a working template report using the type of financial data typically downloaded from institutional systems.
- Participants will determine the most effective format for printing ‘hard-copy’ versions of Excel reports.

Prerequisites: Participants should have a working knowledge of Excel and must bring a laptop/notebook with either Microsoft Excel 2007, 2010, or 2013 installed (MAC OS is not supported for this workshop).

Stephanie L. Gray*, Assistant Vice President, Division of Sponsored Programs, University of Florida  
Ron Ross, Computer Scientist, NIST Fellow, Project Leader, Computer Security, National Institute of Standards and Technology (NIST)  
Alicia Turner, Sponsored Research Business Relationship Manager, Information Technology, University of Florida
WORKSHOP 25
FUNDAMENTALS OF CHANGE MANAGEMENT
Program Level: Intermediate

Change is the only constant. That statement certainly holds true for research administration. Whether it is dealing with large scale transformations such as implementation of the Uniform Guidance, an enterprise grants management or financial system, or the more incremental process of adjusting our policies, procedures and practices to the iterative regulatory environment that has become commonplace in our profession, the challenges can be daunting. Being adept at managing change can make or break a leader. Considerations that will be specifically explored are identification of stakeholders, cultural and human aspects, and preparing for the unexpected. This workshop will use an interactive approach to illustrate good practices as evidenced in current literature and the collective experience of both the facilitators and participants.

Learning Objectives
- Participants will be able to identify the stakeholders for change management and the roles different types of stakeholders play.
- Participants will understand the stages of change.
- Participants will utilize strategies for managing change.
- Participants will formulate a plan for change management.

Susan Wyatt Sedwick*, Consulting Associate, Attain, LLC

WORKSHOP 26
THE FAR AND FEDERAL CONTRACTING
Program Level: Intermediate

This session will take participants deeper into the intricacies of the FAR to examine federal contracting 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; often overlooked reporting and prior approval requirements; payment, equipment, intellectual property and dealing with stop-work and termination.

Learning Objectives
- Participants will be able to explain the applicability of financial assistance regulations to FAR-governed contracts.
- Participants will be able to identify various reporting and prior approval requirements.
- Participants will be able to describe a contractor’s responsibilities under payment and intellectual property requirements.
- Participants will be able to explain a contractor’s rights and obligations in the event of stop-work or early termination.

Prerequisites: This is an intermediate level workshop and assumes that participants will have a basic understanding of what the FAR is and how it operates.

David J. Mayo*, Director of Sponsored Research, California Institute of Technology

* Lead presenter
WORKSHOP 27

ANCILLARY RESEARCH AGREEMENTS—MTAs, DUAAs, NDAs, MOUs, BAAAs, ETC.

Program Level: Basic

During the life cycle of a sponsored project, other documents besides the proposal and funding mechanism may be necessary. At proposal stage, you may want to enter into a Teaming Agreement or a Non-Disclosure Agreement. In the course of performing a sponsored project, it may become necessary to share information, data, materials, or other resources with a partner. What is the best way to accomplish the sharing of information? This workshop will examine the different types of ancillary research agreements, when and why they are necessary, problematic clauses, and negotiation tips and tricks.

Learning Objectives
• Participants will learn when an ancillary agreement may be necessary.
• Participants will learn problematic terms in ancillary research agreements.
• Participants will learn negotiation tips and tricks for ancillary agreements.

Prerequisites: Participants should have a basic understanding of research administration.

Charles Bartunek*, Associate Director, Johns Hopkins University Research Administration
Jill Frankenfield, Assistant Director, Office of Technology Commercialization, University of Maryland, College Park

WORKSHOP 28

CRUCIAL CONVERSATIONS

Program Level: Intermediate

In the dynamic world we work in full of change and personality, we need to be armed with communication techniques to successfully navigate all that we are tasked to complete and support. We have to understand that conversations exist in multiple dimensions and that we have to be 'listening' to the entire conversation to remain nimble and guide toward the intended end goal while maintaining relationships.

Learning Objectives
• Participants will be able to identify when a conversation becomes crucial - the turning point.
• Participants will be able to describe and review our natural instincts for reaction to crucial conversations and the opportunities and challenges in understanding our reactions and recognizing the reactions of those engaged in the conversation with us.
• Once understanding when a conversation is crucial and the flow of the conversation, we will investigate how to define true goals and create an environment of trust and open dialogue.
• Participants will learn how we lead these conversations to conclusion and next steps and understand that positive next steps may not be what we went into the conversation trying to achieve.

Prerequisites: This will be geared to members in management or roles which require negotiation skills. Participants will need to be open to case studies and critically dissecting conversations, our personalities and how to identify the multiple forms that conversations exist in.

Randi Wasik*, Director of Finance and Administration, College of the Environment, University of Washington
Amanda Snyder, Associate Director, Office of Sponsored Programs, University of Washington
WORKSHOP 29

PUI/SMALL OFFICE

Program Level: Overview

Research Administrators at Predominantly Undergraduate Institutions (PUIs) often find that their responsibilities consist primarily of that ubiquitous last line in job descriptions: ‘and other duties as assigned.’ We wear a variety of hats ranging from research development coordinator and grant writer to research compliance officer and IRB member. Managing these sometimes disparate activities requires a broad knowledge base and an ability to prioritize work based on institutional needs and risk. And, all of this work must be done within the context of ever-changing federal, state, and institutional regulations. Focused on individuals that work at a PUI with fewer than five research administrators on campus, this session will provide useful tools for managing the workload and staying current with funding and regulatory agencies’ guidance. This interactive workshop will also include opportunities for participants to share best practices and lessons learned from working in a small-shop research administration office.

Learning Objectives
- Participants will learn best practices for managing research administration activities in a small office.
- Participants will conduct a basic risk assessment to assist in planning and prioritizing their activities.
- Participants will identify at least three resources for staying current with changes in federal funding activities and related regulations.

Katie Marie Plum*, Director of Sponsored Projects, Angelo State University
Pamela Napier, Director, Office of Sponsored Programs, Agnes Scott College

WORKSHOP 30

CREATING AND DEVELOPING EFFECTIVE RESEARCH ADMINISTRATION EDUCATION PROGRAMS FOR YOUR INSTITUTION

Program Level: Overview

Building an effective research administration education/training program is an ongoing process. Whether you are just beginning or have an established training program changes in regulations, institutional policies, and electronic systems mean that we all have to remain engaged and adapt to an ever changing and increasingly collaborative world. In this workshop we will look at taking an enterprise level approach to creating, developing and implementing comprehensive education/training programs to help research administrators realize their potential and provide a knowledge base to retain talent and provide career development.

Learning Objectives
- Participants will be able to identify and assess resources.
- Participants will learn about different teaching methods and models.
- Participants will learn to build a program to maintain, develop and promote knowledge acquisition, skill sets, and retain talent.
- Participants will evaluate success beyond reaction.

Eileen Nielsen*, Director of Research Administration Education, Harvard T.H. Chan School of Public Health
Nicole Joyce, Research Administration Training Program Manager, University of California San Diego
WORKSHOP 31
SPONSORED AUDIT MANAGEMENT
Program Level: Intermediate
This workshop will provide an overview on different audit types, both internal and external, the different stages of an audit and how to best prepare for an audit. This workshop will address how to establish productive working relationships with auditors to help manage audit efficiencies, how to manage expectations and will cover some of the audit related changes for the Uniform Guidance.

Learning Objectives
• Participants will learn about the different stages of an audit.
• Participants will be introduced to strategies to increase audit efficiencies and add value to the process.
• Participants will gain insights into the Uniform Guidance impact on the Federal Single Audit.

Roseann L. Luongo*, Associate Director, Training and Compliance, Harvard University
Jeff Seo, Director of Research Compliance, Harvard Medical School
Corryne Swails, Assurance Manager, PricewaterhouseCoopers

WORKSHOP 32
LEARNING TO MANAGE ONESELF – A CRITICAL STEP TO SUCCESS
Program Level: Advanced
To be a good manager one must learn to effectively maximize the performance of a team, but if you are not prioritizing your own workload, that becomes unreachable. Failing to be a successful self-manager runs the risk of losing valuable people, and decreasing the motivation of your existing staff. How can one lead others with self-management skills? In this session, we will explore key components to self-management and why it is critical to our professional development. We will cover vital areas such as stress management, conflict resolution, organizational cultures, self-awareness, channeling your creative self for problem solving, and other aspects of self-management.

Learning Objectives
Participants will learn how to reach goals and contribute to the success of your organization by understanding what your roles, responsibilities and keys to good management are. This workshop will provide tools and techniques that can be used in your day-to-day routine.

Tolise Miles*, Training Development Specialist, University of Colorado at Boulder
Vivian Holmes, Director, Sponsored Research, Broad Institute of MIT and Harvard
Lisa E. Mosley, Assistant Vice President, Research Operations, Arizona State University
Samantha J. Westcott, Independent Consultant
WORKSHOP 33

POST-AWARD ADMINISTRATION: TOOLS AND TIPS FOR SUCCESS BEYOND THE BASICS FOR DEPARTMENTAL RESEARCH ADMINISTRATORS

Program Level: Intermediate

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

Learning Objectives

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

Anne Albinak*, Assistant Director of Finance, Johns Hopkins University
David Schultz, Director of Sponsored Programs Finance Administration, University of Louisiana at Lafayette

WORKSHOP 34

GETTING THE MOST OUT OF YOUR CLINICAL RESEARCH ADMINISTRATION PROGRAM

Program Level: Intermediate

This workshop will define the characteristics of a high-performing clinical research administration program while helping you assess where your program is in comparison and identify any areas for growth. Be prepared for group discussion, interaction, and team exercises that will provide you with tools to take back to your institution.

Learning Objectives

- Participants will be able to define the key characteristics of high performing clinical research administration programs.
- Participants will learn to compare and contrast your program to best practices.
- Participants will be able to list some concrete steps you can take in the coming weeks and months to improve your program.
- Participants will have a basic understanding of clinical trials and clinical research with an interest in the administrative aspects of the work.

Allecia A. Harley*, Associate Vice President, Clinical Research Administration, Office of Research Affairs, Rush University Medical Center
Thomas Bechert, Director, Research Administration Services, Huron Consulting Group

* Lead presenter
WORKSHOP 35

INTERNATIONAL WORKSHOP - NON US INSTITUTIONS
PURSUING/MANAGING US FUNDING

Program Level: Overview

For the International Research Manager, understanding how to navigate the proposal and negotiation process is a key competence needed to effectively advise researchers on whether or not to apply for US funding, which strategies to use, and how to ensure a smooth and fruitful project.

This workshop will have a 3-part format, with an introductory presentation by an experienced US Grants officer, an overview of negotiation pain points and strategy by an experienced University Negotiator, followed by an interactive session on US Federal submissions and negotiation. Participants will acquire substantial expertise in US research funding and should be encouraged to bring a laptop or Tablet to work with during the workshop.

The presentation will cover an overview of US Federal regulations and their impact on research funding, the subcontracting process used by many US institutions, an overview of commonly required institutional registrations and directions on how to acquire such registrations (DUNS, OLAW, IRB etc.); an understanding of why US institutions are hypersensitive concerning particular terms (e.g., Intellectual Property, public access, etc.) The workshop will provide insight into how to read and interpret Funding Opportunity Announcements (FOA; calls for proposals) primarily from the National institutes of Health (NIH), but due to the (relative) uniformity of FOA’s, this knowledge will be applicable on other Federal funders, too. Finally, the workshop will assist with the Identification of difficult points during the negotiation process and proven solutions specifically focusing on Intellectual Property, Confidentiality and Indemnification.

Learning Objectives

The objective of this workshop is to provide enough insight into how the US research funding system works to be able to provide researchers with competent guidance on applications and further to present an overview of common negotiation challenges and the strategies to overcome them.

Jennifer A. Ponting*, Director, Pre-Award Services, Harvard University
Washington, D C  | August 7 – 1 0, 201 6

**SENIOR LEVEL FORUM 36**

**POLICIES AND PROCEDURES - ARTFUL, USEFUL, EFFECTIVE, AND (REASONABLY) CURRENT**

Program Level: Advanced

Writing and implementing organization-wide policies and procedures can be a frustrating experience or a rewarding way to codify institutional mindset/promote compliance (and sometimes both!). Policy writers and implementers will learn tips and tricks to maximize the overall effectiveness of their policies and procedures. Topics include deciding what does and doesn’t need a policy, use of clear language, the essential elements to include; how to distinguish policy from procedure, how to identify the ‘right’ level of detail, and obtain advice about running the consultative gamut, enforcing policy, and policy maintenance and updating. Also covered will be ways to effectively communicate and use policy and procedure. Participants will have a chance to practice both crafting and improving policy language and recognizing good and bad policy language.

**Learning Objectives**
- Participants will gain an understanding of the various operational structures and how these structures impact best practices.
- Participants will learn how to structure a policy library.
- Participants will learn how to craft effective policy language.
- Participants will be able to advocate for strong buy and enforcement.

Prerequisites: The course is focused on those who need to write and implement policies and procedures rather than use them.

Pamela A. Webb*, Associate Vice President for Research, University of Minnesota

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**SENIOR LEVEL FORUM 37**

**STRUCTURING YOUR OFFICE FOR SUCCESS**

Program Level: Advanced

The functions performed by a research administration office, broadly defined, are essentially the same the world over. As research administrators, we assist our faculty in finding new sources of funding, we ensure our institutional standards remain intact as our researchers submit new requests for funding, and we negotiate and manage awards through their lifecycle, among many other activities. What is different across institutions is how we structurally and organizationally manage our offices. This workshop will focus on several organizational structures, how these structures work, and the impact of the various structures on operational best practices. Specifically, we will address the benefits, efficiencies, and challenges of the traditional pre-award and post-award structures along with associated work allocation models, plus look at other functions that have been more clearly defined in recent years, i.e., Research Development and Information Technology functions. We will examine why one structure may work at one institution, but not at another. Be prepared to share your organizational structures as well as your organizational challenges.

**Learning Objectives**
- Participants will gain an understanding of the various operational structures and how these structures impact best practices.
- We will address how physical space, institutional culture, size of operation staff, and/or needs of your institutional researchers influence operational structures.
- We will investigate how technology and support services can impact an office structure.
- We will share why it is important to review and (possibly) revise your operational structure from time to time.

Prerequisites: Experience in managing an office, organization, or functional service.

David Richardson*, Associate Vice Chancellor for Research and Director of Sponsored Programs, University of Illinois at Urbana-Champaign
Patricia A. Hawk, Assistant Vice President, Office for Sponsored Research and Award Administration, Oregon State University
Dan Nordquist, Associate Vice President for Research Operation and Support, Office of Grant and Research Development, Washington State University
This is a free morning workshop on Wed, August 10th, 2016 (8:30 AM – 12 PM) that will answer all of your questions on Horizon 2020 and provide a chance to quiz research administrators with first-hand experience in dealing with European Commission grants.

1 BILAT USA received funding from the European Union’s Seventh Framework Programme for research, technological development and demonstration under grant agreement No 312081.

Learning Objectives
- Participants will gain a better understanding of policies and procedures affecting the NIH grants process from application to post-award.
- Participants will have the opportunity for personal interaction with NIH staff and be able to obtain insight and suggestions for managing research grants in an increasingly complex environment.

Cynthia Dwyer*, Regional Seminar Coordinator and Communications Specialist Office of Extramural Research (OER), National Institutes of Health
NIH staff to be announced